I. Introduction

A. The University

Illinois Institute of Technology (IIT) is an independent, non-sectarian, co-educational, and urban university emphasizing education for the professions, research, and scholarship. The university offers programs in engineering, science, architecture, law, business, psychology, and design, and is a member of the Association of Independent Technological Universities. With its contract research arm, IIT Research Institute (IITRI), IIT is a major center of applied science and engineering research. IIT has five campuses in the Chicago area: the Main Campus on Chicago’s mid-South Side; the Downtown Campus in Chicago’s West Loop; the Daniel F. and Ada L. Rice Campus in west suburban Wheaton; the Moffett Campus in south suburban Bedford Park, where the National Center for Food Safety and Technology is located; and the Institute of Design (ID) at 350 N. LaSalle St., in Chicago. In the 1950s, the university’s Main Campus was designed by master architect Ludwig Mies van der Rohe and has been designated one of the 200 most architecturally significant sites in the United States. The opening in 2003 of a new campus center designed by Rem Koolhaas and a dormitory by renowned architect Helmut Jahn has broadened and enhanced the architectural significance of the Main Campus.

B. History

In 1890, when advanced education was often reserved for society’s elite, Chicago minister Frank Gunsaulus delivered what came to be known as the “Million Dollar Sermon.” From the pulpit of his South Side church—near the site IIT now occupies—Gunsaulus said that with a million dollars he could build a school where students of all backgrounds could prepare for meaningful roles in a changing society. Industrialist Philip Danforth Armour heard Gunsaulus’ sermon and came to share his vision. He agreed to finance the endeavor with the stipulation that Gunsaulus become the first president of Armour Institute.

When Armour opened in 1893 it offered professional courses in engineering, chemistry, architecture, and library science. Armour Research Institute, the predecessor to IITRI, was formed in 1936 as the university’s not-for-profit research arm. It applied science and technology to solve problems for industry and government.

IIT was created in 1940 by the merger of Armour Institute with Lewis Institute, a West Side Chicago college that offered liberal arts as well as science and engineering courses. In 1949 the Institute of Design merged with IIT, thereby bringing to the university the teachings of ID’s founder, Laszlo Moholy-Nagy, whose work altered the history of photography, film, and typography.

In 1969 IIT became one of the few technology-based universities with a law school when Chicago-Kent College of Law, founded in 1888, became part of the university. Stuart School of Business was added in 1969, funded by a gift from the estate of Lewis Institute alumnus and Chicago financier Harold Leonard Stuart. The Midwest College of Engineering, founded in 1967, joined the university in 1986 to form the nucleus of what is now the Rice Campus in Wheaton. A gift of buildings by CPC International in south suburban Bedford Park in 1988 made possible the IIT Moffett Campus. The Downtown Campus, a 10-story building at 565 W. Adams St. in Chicago’s West Loop, opened in January 1992, and is home to the law school, some programs of the business school, as well as the master’s degree program in public administration.
In early 1998 the Institute of Design moved from the Main Campus to the building then known as the Steelcase Building in Chicago’s River North section, a step designed to help ID expand its continuing and executive education programs and to bolster graduate enrollment. In 2002 a majority of the assets of IITRI were sold to Alion Science and Technology Corporation, a for-profit company whose sole shareholder is an Employee Stock Ownership Plan formed and owned by former employees of IITRI. IITRI, consisting primarily of its Life Sciences Operation, continues as an independent not-for-profit corporation controlled by the university.

In November 1996, longtime trustees Robert A. Pritzker and Robert W. Galvin offered the university a record-breaking $120 million challenge grant, launching the five-year IIT Challenge, a campaign that helped to spur IIT’s revitalization and to assure its leadership in higher education for decades to come. The funds were used to provide scholarships for outstanding students, to facilitate faculty development, and to support and upgrade university facilities, including construction of the new McCormick Tribune Campus Center designed by Dutch architect and Pritzker Prize awardee Rem Koolhaas, and a new residence hall designed by the internationally renowned Helmut Jahn.

C. A Record of Accomplishment

Even more impressive than the physical growth of the university over its first century is the remarkable record of accomplishment by its students, faculty, and alumni. Lee DeForest, “Father of the Radio,” conducted his first long-distance broadcasts from the roof of Main Building while on the Armour faculty. Jazz great Benny Goodman and journalist Dorothy Thompson distinguished themselves after studying at Lewis. S. I. Hayakawa, world-renowned expert in semantics, taught at IIT and wrote the best-selling book, Language in Action, while on the faculty. Nobel Laureate Herbert Simon wrote his groundbreaking book, Administrative Behavior, while professor and department chair of political science at IIT from 1942–1947. The only known recording from the 1940s of survivors displaced by Germany in World War II was obtained in 1946 via wireless recording by psychology professor David P. Boder. Chicago-Kent graduate Richard Ogilvie capped a distinguished career with election to the office of governor of Illinois. IIT architects and engineers have literally shaped the Chicago skyline, helping to design and construct such landmark buildings as the Sears Tower, the John Hancock Building, McCormick Place, Lake Point Tower, Marina City, River City, and Water Tower Place.

More recently, IIT alumnus Martin Cooper led the team that pioneered cellular telephone technology at Motorola, Inc. Students from the Institute of Design have won the Osaka Biennial Design Competition’s prestigious Grand Prize twice, besting international student, faculty, and professional teams of designers. In 1990 President George H. W. Bush awarded research professor and alumnus Marvin Camras the National Medal of Technology, the highest honor bestowed by the President for technological achievement. Camras held more than 500 patents and was inducted into the Inventors Hall of Fame as the “Father of Magnetic Recording.” The Camras scholarships launched by IIT in 1996 to attract the best and brightest high school students to careers in engineering are named in his honor.

II. Mission

“To provide distinctive and relevant education in an environment of scientific, technological, and professional knowledge creation and innovation.”
The schools envisioned more than 100 years ago when the predecessors of IIT were created today have become a university offering a bold intellectual agenda for a changing world. Educating the women and men who will become tomorrow’s leaders is fundamental to IIT’s mission.

While IIT’s core mission entails education and research, the university also recognizes its importance to the life of the historic Bronzeville neighborhood in Chicago where its Main Campus is located. As one of the major anchor institutions in this neighborhood, IIT plays a key role in the area’s economic renewal.

III. Academic Governance

A. The Board of Trustees

The Board of Trustees is charged with final responsibility for the operations of IIT. The Board assesses the performance of the university and its president to assure that IIT serves the public interest in its chosen range of activities. The Board assures the prudent management of IIT’s finances, leads in providing the resources needed to carry out the university’s objectives, protects the university from undue external pressures, and functions as a bridge between IIT and the outside community. The Board is composed of prominent business, industrial, community, and professional leaders who place their time, talents, and resources at the disposal of the university. The names of the members of the Board of Trustees are listed in major university publications.

B. Academic Administration

Responsibility for carrying out resolutions of the Board of Trustees and for implementation of its policies is placed upon the President and those to whom the President may delegate responsibility. The Provost administers the academic-related support services through the academic unit heads and other administrative officers. Objectives of the academic administration include creating and supporting an outstanding community of faculty and students, providing a working environment that facilitates scholarly achievement, and planning the long-range development necessary for IIT’s continuing progress.

C. Academic Units

An academic unit is a degree-granting group of faculty having among its members one or more tenured faculty whose primary appointment is in that unit. The current academic units are Chicago-Kent College of Law; the Stuart School of Business; the College of Architecture; the Graduate School of Design; the School of Applied Technology; and the Departments of Applied Mathematics, Biological and Chemical Sciences, Physics, Biomedical Engineering, Chemical & Biological Engineering, Civil, Architectural & Environmental Engineering, Computer Science, Electrical & Computer Engineering, Humanities, Mathematics & Science Education, Mechanical Materials & Aerospace Engineering, Psychology and Social Sciences.

D. The Faculty

The IIT faculty consists of all individuals who hold regular full-time faculty appointments at the university, including the President and the Provost. Those who hold adjunct professorial rank and teach at least three 50-minute periods per week per semester, or the equivalent, are also considered members of the faculty. Senior research associates and research associates hold academic appointments but are not members of the faculty. The undergraduate and graduate bulletins, and the university’s web site, list the
members of IIT’s faculty. Specific voting privileges of various categories of faculty are discussed in Appendices A, B, and Q of this Handbook.

Active emeriti faculty members and tenured and tenure-track faculty members hold voting rights as members of the faculty and are classified as “regular voting members”. Active emeriti faculty members are those emeriti faculty members who continue to participate in university affairs. On or before September 30 of each year, each academic unit will provide to the Office of the Provost a list of those emeriti faculty members who meet this definition and should be considered as active emeriti faculty members for that academic year. In order to provide suitable representation at faculty meetings to colleges, schools, departments, centers and institutes, the voting faculty may extend membership and voting rights to other persons as provided in the constitution and by-laws of the IIT faculty. (Appendices A and B.)

Meetings of the university faculty are held at least twice each year, at which time the University Faculty Council (sometimes referred to herein as the “UFC”) reports its deliberations, decisions, and actions. At its meetings the Faculty may act on matters of particular significance brought before it by the University Faculty Council, the President or the Provost. The President serves as president of the Faculty. The Secretary of the University Faculty Council serves as Secretary of the Faculty. Members of the Faculty are organized into academic units, as described in the preceding section.

E. Constitution and By-Laws of the Faculty of Illinois Institute of Technology

The IIT Faculty Constitution and By-Laws (see Appendices A and B, respectively, for the full text of each document) describe the composition, structure, and functions of the University Faculty Council and the Faculty Senate. These documents set forth the procedures for selection of officers of the Faculty, election of UFC members, and conduct of Faculty meetings. The composition and functions of faculty standing committees are also discussed. These documents are subject to the review and approval of the Board of Trustees.

IV. Conditions of Academic Appointment

A. Locus of Authority

IIT is a private university. The ultimate authority to determine policy and conditions of academic appointment resides with the Board of Trustees and is vested by the Board in the President and the Provost. Working procedures have been developed for obtaining the advice and recommendations of the faculty and members of the academic administration concerning decisions involving policy changes and the selection, retention, promotion, advancement to tenured status, and termination of faculty members. These procedures and their implementation remain subject, however, to the approval of the Board of Trustees and those named to administer its directives.

B. Faculty Appointments and Faculty Ranks

All full-time faculty positions fit into one of the following four categories. Some of the ranks require further definition by the academic units using them. However, the following standards apply to all faculty in those categories holding these ranks. Procedures for review and renewal are set out in Appendix C for persons holding Category I ranks and in Appendix Q for persons holding Category II and III ranks. Appendix Q also contains information regarding limits on the number of appointments in those categories and on voting rights. Other ranks may be added to Categories II and III upon approval of the President, the UFC, and the IIT Faculty.
1. Category I

Tenured and tenure-track faculty constitute Category I faculty. These are the traditional ranks, and individuals holding these ranks form the “core” of the faculty. Their roles in teaching, research, and service are well understood. Active professors emeriti are also Category I faculty.

a. Professor

Appointment to the rank of professor carries permanent tenure. Such appointment shall be continued until (1) retirement, (2) resignation, (3) dismissal with cause as set forth in Appendix J, or (4) declaration by the Board of Trustees that the university is suffering from extraordinary financial exigency. In cases where the first appointment at IIT is in this rank, the award of continuous tenure shall be subject to consideration under the university’s procedures for promotion and granting of tenure.

b. Associate Professor

Promotion to the rank of associate professor from the rank of assistant professor carries continuous tenure under the same provisions and limitations as apply to professor. In cases where the first appointment at IIT is in this rank and is without tenure, such appointment shall be for a four-year term and shall be subject to notification of termination or award of tenure at the end of three years. An associate professor in his or her third year may petition the academic unit head to defer consideration to the fourth year. However, if the request for deferral is granted and tenure subsequently is not awarded, the fourth year constitutes the terminal year and there can be no extension of the terminal contract. In cases where the first appointment at IIT is in this rank with tenure, the award of tenure shall be subject to consideration at the time of hire under the university’s procedures for promotion and granting of tenure. Typically, time spent on leave of absence by an untenured faculty member is not counted as part of a probationary appointment at IIT. However, agreement on whether or not a leave of absence is to be considered part of a probationary term must be reached before approval of the leave of absence is granted, except as otherwise provided in the Faculty Family Policy, included in the Supplement to the Handbook. Under that Policy, leaves of absence for birth or adoption of a child do not require prior approval and time spent on such leaves are not counted as part of the probationary appointment.

c. Assistant Professor

Two options are available for the appointment or reappointment of an assistant professor: (1) an initial probationary period of four years, with a possible renewal for a term of three years; or (2) an initial probationary period of three years, with a possible renewal for a term of four additional years. Each academic unit shall publish its policy as to which option it follows. The policy must be uniform for each assistant professor appointee within that academic unit. An assistant professor must be considered for tenure no later than his or her sixth year in this rank at IIT. An assistant professor in his or her sixth year may petition the academic unit head to defer consideration to the seventh year. However, if the request for deferral is granted, and tenure is not awarded, the seventh year constitutes the terminal year and there can be no extension of the terminal contract. An assistant professor’s appointment shall be terminated if the faculty member is not promoted prior to, or at the end of, the second appointment. Notice of termination of appointment at the end of the first or second terms shall be given at the end of the year preceding the terminal year of the appointment. Typically, time spent on leave of absence by an untenured faculty member is not counted as part of a probationary appointment at IIT. However,
agreement on whether or not a leave of absence is to be considered part of a probationary term must be reached before approval of the leave of absence is granted, except as otherwise provided in the Faculty Family Policy, included in the Supplement to the Handbook. Under that Policy, leaves of absence for birth or adoption of a child do not require prior approval and time spent on such leaves are not counted as part of the probationary appointment.

d.  Emeritus Faculty

Appointment to the rank of associate professor emeritus, professor emeritus, or distinguished professor emeritus may be awarded to a retiring full-time tenured faculty member in recognition of his or her distinguished service to the university. The appointment is made upon the joint recommendation of the academic unit, the dean of a college (in the case of an academic unit that is located within a college with departments) and the Provost. Notice of the appointment is given by letter from the President or from such other academic administrator as the President may designate. The list of emeritus faculty is published in the undergraduate and graduate bulletins and on the university’s web site. Active emeritus faculty can be principal investigators in research and sponsored program proposals and advise graduate student research as primary advisor but only with a tenured or tenure-track faculty member as co-principal investigator in the research proposal and as co-advisor of the student.

2.  Category II

Long-term, non-tenured faculty constitute Category II faculty. These ranks are intended for faculty members who make a long-term commitment to the university, but who do not serve in roles that ordinarily would qualify them for tenure. Faculty members in this category will have contracts from one year to five years in duration, with no limit on the number of renewals, except as otherwise provided below for assistant professors of legal writing. A renewal of a contract may be for a shorter or longer term than the term of the predecessor contract. In the case of a faculty member who is in his or her sixth through tenth year of service with the university, and who is not going to receive a renewal of his or her contract, notice of such non-renewal shall be given to him or her by the academic unit head at least one academic year prior to the expiration of his or her current contract. In the case of a faculty member with eleven or more years of service with the university and who is not going to receive a renewal of his or her contract, notice of such non-renewal shall be given to him or her by the academic unit head at least two academic years prior to the expiration of his or her final contract. If timely notice is not given to the faculty member, he or she shall receive a terminal contract at least equal to the period of time that the notice was untimely. For example, if notice is given eight months late, the faculty member shall be entitled to a contract of at least eight months’ duration.

a.  Clinical Professor

Clinical faculty members are those who bring professional expertise to the classroom, but who usually do not participate in academic research and/or scholarship. Three faculty ranks have been established for clinical educators: clinical assistant professor, clinical associate professor, and clinical professor. An academic unit may determine the length of a clinical faculty member’s contract, within the one- to five-year terms described above.

Appointment to a clinical rank carries no implication of tenure or continuing connection with the university beyond the contract term. The renewal of a contract is subject only to the needs of the academic unit and the mutual agreement of the individual and the university. Academic
responsibilities and compensation are determined by the director or dean of the college or school in which the individual is employed, and specified in the contract between the university and the clinical faculty member.

b. **Studio Professor**

Appointment to the ranks of studio professor, studio associate professor, and studio assistant professor are made to recognized outstanding practitioners who may continue to practice in their fields. The renewal of a contract is subject only to the needs of the academic unit and the mutual agreement of the individual and the university. Workload and compensation are determined by the academic unit head and specified in the contract between the university and the studio professor.

c. **Senior Lecturer and Senior Instructor**

Appointment to the rank of senior lecturer and senior instructor is made to an individual who is committed to teaching and other professional activities, but who ordinarily does not participate in academic research and/or scholarship. The renewal of a contract is subject only to the needs of the academic unit and the mutual agreement of the individual and the university. Workload and compensation are determined by the academic unit head specified in the contract between the university and the individual.

d. **Legal Writing Professor**

Professors of legal writing are those who have demonstrated excellence in teaching legal writing and doctrinal law courses and who are active participants in institutional service and in the intellectual life of the law school. The term for this rank is an initial appointment of two years as an assistant professor of legal writing, based on the vote of the tenured faculty to recommend the appointment to the dean. Such appointments may be renewed for a maximum of two additional years. The terms for appointments to the rank of associate professor of legal writing and professor of legal writing shall be for three and five years, respectively, and are made by the dean upon the recommendation of the appropriate law school committee.

e. **Industry Professor or Industry Associate Professor**

Appointment to the rank of industry professor or industry associate professor is made to an individual with substantial experience in business or industry who will bring his or her professional expertise to teaching and other professional activities, not including research. Course load and compensation will be determined by the academic unit head and specified in a contract between the faculty member and the university. Renewal of the contract is subject to only the needs of the academic unit and the mutual agreement of the individual and the university.

3. **Category III**

Full-time, short-term faculty with little university commitment, including visiting and research faculty, constitute Category III faculty. Faculty members in this category receive contracts for one or two years; they may serve for no more than four years in a period of seven years. However, appointments to the ranks of distinguished research professor, research professor, research associate professor, and research assistant professor are not subject to these durational limitations. Notice of renewal or non-renewal shall be given by the end of the last academic year of the contract in force.
a. Visiting Faculty

Appointment to any of the visiting ranks is not permanent and carries no implication of tenure or continuing connection with the university. Such an appointment is made on an annual basis. Generally the period of service as a visiting member of the faculty shall not be extended beyond two years, although under special circumstances appointment may be continued on an annual basis for a period not to exceed another two years. Academic responsibilities and compensation are determined by the academic unit head and specified in a contract between the university and the individual.

b. Distinguished Research Professor

Appointment to the rank of distinguished research professor is made to a person who has achieved preeminence in his or her field of expertise, as defined in Appendix O regarding the honorific title of distinguished professor. This appointment may be made to a person who has been affiliated with another university, a research laboratory, or an industrial organization, as well as to an IIT professor who has retired. Such an appointment is made on an annual basis and carries no implication of tenure or continuing connection with the university. Renewal of the appointment is subject only to the needs of the academic unit and the mutual agreement of the individual and the university. A distinguished research professor may serve with a tenure-track faculty member as a co-adviser, but not as a sole adviser, for graduate students. Workload and compensation are determined by the academic unit head and specified in a contract between the university and the individual.

c. Research Professor and Research Associate Professor

Appointments to the rank of research professor and research associate professor are made to recognized outstanding professionals who may continue to practice in their fields. Such an appointment is made on an annual basis and carries no implication of tenure or continuing connection with the university. The terms of each annual appointment are subject to the needs of the department and the mutual agreement of the individual and the university. A research professor or a research associate professor may serve with a tenure-track faculty member as a co-adviser, but not as a sole adviser, for graduate students. Workload and compensation are determined by the academic unit head and specified in a contract between the university and the individual.

d. Research Assistant Professor

Appointment to the rank of research assistant professor is made to a professional who shows promise of developing into an outstanding researcher in his or her field. Such an appointment is made on an annual basis and carries no implication of tenure or continuing connection with the university. The terms of each annual appointment are subject to the needs of the academic unit and the mutual agreement of the individual and the university. A research assistant professor may serve with a tenure-track faculty member as a co-adviser, but not as a sole adviser, for graduate students. Workload and compensation are determined by the academic unit head and specified in a contract between the university and the individual.

e. Instructor and Lecturer

Appointment to the ranks of instructor and lecturer are not permanent and carry no implication of tenure or continuing connection with the university. Such an appointment is made on an
4. **Category IV**

This category includes highly distinguished faculty who may be appointed directly by the President in recognition of their national reputations.

**University Professor**

Appointment to the rank of university professor is made by the President in the case of prestigious members of the academic or other professional community. The terms of appointment are set by the President.

In the case of an initial proposed appointment of an individual who will be affiliated with an academic unit, the nominee’s appointment shall be subject to review by, and the consent of, the relevant Academic Unit Committee on Promotion and Tenure (AUCOPT).

An affirmative recommendation by the AUCOPT shall be reviewed by the University Committee on Promotion and Tenure (UCOPT), which shall submit a recommendation to the President, which recommendation shall be accompanied by the documentation received from the AUCOPT.

In the case of a proposed initial appointment of an individual who will not be affiliated with an academic unit, the nominee’s appointment shall be reviewed by the UCOPT, which shall submit a recommendation to the President.

Renewals of appointments may be made by the President without additional reviews by the relevant AUCOPT or by the UCOPT, unless the President requests a review.

In the case of a university professor who is affiliated with an academic unit, workload and compensation are determined by the academic unit head and are to be specified in a contract entered into between the university and the university professor.

5. **Other Academic Appointments**

a. **Adjunct and Part-Time Faculty**

Adjunct and part-time faculty appointments are made on a year-to-year, semester-to-semester basis. Such appointments are not permanent and carry no implication of continuing connection with the university. Workload and compensation are determined by the academic unit head and are specified in a contract between the university and the individual.

b. **Senior Research Associate**

Appointment as a senior research associate is made by the Dean of the College or School to an individual who holds an earned doctorate and who possesses special qualifications for making significant professional contributions to the research projects in which he or she is engaged. This is a full-time academic appointment. Although not a faculty member, a senior research associate is ordinarily considered equivalent in rank and privileges to an assistant professor. An individual holding this appointment is eligible to participate in teaching activities on a part-time basis. An appointment is made for a specified period, is renewable annually, and carries no implication of continuing connection with the university or of eligibility for tenure. In general,
the maximum period for such an appointment is five years, although in appropriate cases this may be extended. Workload and compensation are determined by the academic unit head and are specified in a contract between the university and the individual.

c. **Research Associate**

Appointment as a research associate is made by the Dean of the Graduate College to an individual whose highest degree is the master’s degree and who is not pursuing a graduate degree program at IIT. This is a full-time academic appointment. Although not a faculty member, a research associate is ordinarily considered equivalent in rank and privileges to an instructor. An appointment is made for a specified period, is renewable annually, and carries no implication of continuing connection with the university or of eligibility for tenure. In general, the maximum period for such an appointment is five years, although in appropriate cases this may be extended. Workload and compensation are determined by the academic unit head and are to be specified in a contract between the university and the individual.

6. **Administrative Officers with Faculty Rank**

Appointment to an administrative position does not carry with it tenure. An administrative officer holding faculty rank is subject to the tenure provisions specified for the various academic ranks only insofar as his or her faculty status is involved.

7. **Notification of Appointment**

The terms and conditions of every new appointment to the faculty of IIT will be stated or confirmed in writing and a copy of the appointment document will be provided to the newly appointed faculty member. Every full-time faculty member will be informed annually of the renewal or termination of her or his appointment. Notification of renewal of appointment will include specification of all the terms and conditions of the appointment. Any modifications of the terms of an appointment or any conditions agreed upon after the original appointment document has been transmitted to the faculty member shall be stated or confirmed in writing and a copy shall be given to the faculty member.

8. **Equal Opportunity/Affirmative Action**

IIT is an Equal Opportunity/Affirmative Action employer. Candidates for promotion and new faculty positions are evaluated by the established academic criteria, and in compliance with federal, state, and local requirements. IIT is firmly committed to its affirmative action goals as set forth in its affirmative action plan, which is available in the General Counsel's Office. Without sacrificing academic standards, IIT is mindful of those goals in hiring new faculty. A candidate's membership in a group that is under-represented on IIT's faculty is one of the factors that shall be considered in hiring decisions. Candidates for promotion and/or tenure are evaluated by established academic criteria and in full compliance with all nondiscrimination laws and regulations.

9. **Faculty Promotions and Tenure**

It is the policy of IIT to ensure excellence in the quality of its faculty and to recognize the interests of its faculty members through the principles concerning conditions of appointments and the awarding of tenure (See Appendix C.) as set forth in the *Revised Standards and Procedures for Promotion and Tenure.*
10. Faculty Interaction with IITRI

IIT and its affiliate, IIT Research Institute (IITRI), constitute a significant concentration of resources for education and for scientific and engineering research. Basic research is an essential function of IIT and of IITRI. Applied research and the related activities of development, inventions, and commercialization are also important missions of IITRI. All of these activities are complementary. Thus, it is an objective of IIT to encourage coordination, cooperation, and information transfer between IIT and IITRI, thereby optimizing the resources available for the conduct of scientific and engineering activity. Degree-granting education programs are the special province of IIT and the university is the only source of such activity on the IIT campus.

V. Professional Concerns

A. Academic Freedom

IIT recognizes the importance of academic freedom for unhampered inquiry and exchange of ideas essential to the intellectual life of an institution of higher learning. Academic freedom is a right of every faculty member and every student. It implies the obligation to respect and to support the academic freedom of all other members of the university academic community. The responsibility for preserving academic freedom at IIT rests equally with the faculty and the administration. Academic freedom for the teacher implies the right to an unfettered search for truth and its exposition in his or her chosen field of expertise or scholarship. For the student, academic freedom implies the right to pursue programs of instruction of his or her own choosing at this or any other accredited institution within the standards and procedures governing academic programs at the respective institutions.

Specifically, the following principles of academic freedom contained within the American Association of University Professors’ 1940 Statement of Principles are endorsed by IIT:* 

*Endorsement of the statement contained within the 1940 Statement of Principles as set forth herein does not imply acceptance of any subsequent interpretations, amendments, or additions hereto.

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scholars and educational officers they should remember that the public may judge their profession and their institution by their utterances. Hence, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others and should make every effort to indicate that they are not speaking for the institution.

B. Policy Regarding Equal Opportunity in Education and Employment

It is, and shall continue to be, the policy of the university to provide equal employment opportunities to all employees and job applicants. This policy insures that applicants are employed and that employees are treated during employment without regard to their race, religion, gender, age, marital status, national origin, arrest record history, veteran status, sexual orientation, transgendered status, or disability. This policy shall apply, but not be limited to, the following employment practices: locating sources of qualified applicants; recruitment or recruitment advertising; hiring; upgrading; demotion; transfer; layoff; termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, reasonable accommodations will be provided to qualified individuals with disabilities.

It is the intention of IIT to act in accordance with all regulations of the federal, state, and local government with respect to providing equality of opportunity in employment and in education, insofar as those regulations may pertain to IIT. IIT prohibits and will act to eliminate unlawful discrimination.

Any student, applicant for admission or employment, or employee of IIT who believes that he or she has received inequitable treatment because of discrimination that violates IIT’s stated policies of equal opportunity in employment and in education should communicate, either in writing or in person, with the Affirmative Action Officer, IIT Tower, Suite 1900-SW, Illinois Institute of Technology.

C. Policy Regarding Equal Access to University Library Resources

IIT libraries are pivotal to the university’s objectives and to its commitment to excellence in teaching and research. Access by all faculty to library resources and services is critical to the quality of teaching and to the research efforts of the faculty. Although the libraries on the three campuses, which have them Main, Downtown and Moffett, have been developed to meet the particular requirements of campus, it is specifically recognized that together they form the IIT Library System. All IIT faculty have equal access to the services and resources of all libraries within the Library System. In implementing this equal access policy, campus libraries may require faculty members to follow procedures that are necessary for the efficient operation of the library. All university libraries work together cooperatively.

VI. Faculty Responsibilities

A. The Academic Year

The academic year is a period of about nine months, beginning with the first day of orientation in the fall and concluding with commencement exercises in the spring. Faculty members may have the opportunity to perform additional teaching, research, or administrative duties during the summer months for extra compensation. During each semester and summer period faculty members are expected to conduct their scheduled classes and to carry out other academic assignments and responsibilities.

Both the period between semesters and the spring recess provide time for faculty members to concentrate on research, to develop new courses and programs, and to engage in other activities appropriate to enhancing general faculty performance.
A faculty member is expected to discuss contemplated absences during the academic year or summer period with his or her academic unit head as far in advance as possible to avoid disruption of normal academic unit activities.

Any regular faculty member may be called upon to teach one evening course per semester without extra compensation as a part of his or her regular teaching load, but only if there is a corresponding reduction in his or her daytime teaching load.

B. Summer Session

During the summer session faculty members are free to make other professional engagements either at IIT or elsewhere. Teaching and/or research assignments at IIT during this period are neither mandatory nor guaranteed. Summer teaching assignments depend on courses scheduled and adequate enrollment and are usually available on a rotating basis to faculty qualified to teach the courses offered. Full-time faculty summer salary is the smaller amount of 60 percent of the tuition or 1/27 of salary per credit hour. Part-time faculty compensation will be negotiated. Law school faculty should consult with their dean regarding summer session pay.

Faculty supported by external grants are entitled to receive additional compensation for summer activities as allowed by the grant budget, and subject to a policy set by the Provost in consultation with the University Faculty Council. This policy shall be uniformly applied across all academic units.

C. Consulting and Other Outside Professional Activities of Faculty Members

University programs are enhanced by active participation of faculty members in outside professional and civic activities. It is expected that all faculty members engaged in such activities conduct themselves in a manner that reflects credit on themselves, their professions, and the university. In all such work it should be made clear that IIT is not involved in any way even though the person is a member of the IIT faculty. Thus, for example, faculty should not utilize university letterhead for such matters.

Within IIT the various professional and academic disciplines differ widely in their traditions and in their need for, and the availability of, consultation or other activities with outside organizations and individuals. It is impossible to establish a single set of specific rules on the proportion of a faculty member’s time appropriate to such outside work. A faculty member’s professional outside activities are considered productive as long as they do not interfere with his or her performance in the on-campus activities that are his or her principal responsibility. Because the capacity for work, stamina, and effectiveness of different individuals vary significantly, it is recognized that in specific cases the amount of time appropriate to outside activities, within the above criteria, also may vary. Generally, however, it is expected that outside activities should not, on the average over the academic year, exceed the equivalent of one day per week. Faculty members are required to report such activity to the appropriate academic unit head when such activity is in excess of that average.

It is the responsibility of the academic unit head to determine whether obligations to IIT are not being met because of a faculty member’s outside activities. The academic unit head shall consult with the faculty member in an attempt to resolve any problems. If necessary, the academic unit head shall set appropriate limits on these activities and shall inform the faculty member of the reason(s) for so doing in writing.

Faculty members are expected to specify the relationships among themselves, outside service consumers, and students so that there is a clear delineation between university activities and outside activities. In all cases faculty members are expected to fulfill their regular full teaching and research responsibilities.
before accepting additional outside work. Because of resource and liability concerns, faculty members may not use university space, property, or expendable equipment for outside consulting work without explicit approval of the activity by the appropriate academic unit head. Faculty members may be required to pay university overhead relevant to such activities as determined through agreement with the academic unit head. Faculty members cannot act as outside consultants to projects for which IIT has a contract, except with the express approval of the Provost.

In view of the special nature of the professor-student relationship, faculty members will not receive extra compensation for additional services provided for students enrolled at IIT. Students shall not work with faculty or staff on projects or tasks, including but not limited to consulting services that fall outside regular research, professional, and curricular activities, without an explicit understanding of how such endeavors will benefit the student through experience, compensation, or both. Faculty members must honor the right of students to decline participation in activities not part of the regular academic or university program.

A full-time faculty member at IIT may not be engaged simultaneously in any other full-time occupation during the academic year or assigned summer period. Teaching in other institutions by full-time faculty members during the academic year or assigned summer period generally is not approved. Such service is allowable only under special arrangements approved in advance by the academic unit head.

VII. Responsibilities in Student-Faculty Relationships

A. Change of Time and Place for Meeting Class

In general, a change by a faculty member in the time and/or place for holding a class is discouraged. In special circumstances, arrangements for changing the location and/or time of a class may be made through the appropriate academic unit office. Prior to the completion of such arrangements faculty members are expected to hold their classes at the times and places originally specified. Changes shall be communicated to the academic unit head.

B. Class Attendance by Students

Because class attendance is an integral part of education, faculty members are expected to hold their students responsible for regular class attendance. Students are expected to notify the instructor in the event of extended absence from class. Prolonged unexplained absences should be reported in writing to the student affairs officer associated with the student’s academic unit. Absent an academic unit policy, each faculty member shall determine his or her own policy regarding make-up work, provided such policy is reasonable in terms of the burden imposed on a student and is equitable with regard to other students.

C. Office Hours for Student Advising

Students at IIT are encouraged to seek academic counsel from their advisers and instructors on a regular basis. Beginning on the first day of IIT’s New Student Orientation Week, faculty members are expected to be available for such advising. A schedule of office hours designated for student advising should be announced at the beginning of each semester, according to policy established by the academic unit. Academic unit offices should be informed concerning each faculty member’s scheduled hours for advising and should be notified if a faculty member is unable to maintain the appointed office hours.
D. Student Access to Educational Records

Under provisions of the Family Educational Rights and Privacy Act of 1974 as amended, students have the right to inspect educational records pertaining to them as individuals. Notes and records kept by faculty members for their own use, and which would ordinarily not be disclosed to anyone other than another faculty member or teaching assistant, are specifically excluded. Faculty members should note, however, that letters of recommendation for admission to another degree program at IIT or elsewhere must be made available for inspection upon the student’s request unless the student has specifically waived the right to review as provided in the statute. For full details concerning access to records and assurance of students’ rights at IIT, see the document entitled Privacy Rights and Access to Educational Records (Appendix N). The document also appears in the IIT Student Handbook. Because students have the right to petition for correction of any inaccuracies in their educational records, faculty members are urged to establish and maintain records that might be necessary to corroborate and/or explicate grade assignments in courses taught.

E. Final Examinations

Final examinations, or equivalent requirements, are required in all courses except certain graduate-level research courses or practica. Each semester a schedule for holding final examinations is published. All instructors must administer final examinations at the times and places officially scheduled. Exceptions to this regulation can be arranged with the consent of the academic unit head only in circumstances where: (1) there is ample opportunity to make certain that every enrolled student is notified of the changed examination time, and (2) administering the examination at the time originally scheduled would impose extreme hardship upon the faculty member.

At the convenience of the instructor and subject to an academic unit’s rules, a special examination may be arranged for a student who is, for an acceptable reason, unable to attend a regularly scheduled examination. Such special arrangements may not delay the reporting of final grades for the entire class within the required time.

F. Reporting of Final Course Grades

Faculty members are urged to familiarize themselves with the sections of the IIT Bulletin for both undergraduate and graduate programs that describe the IIT grading system. To enable the registrar to report final grades to students in a timely and accurate manner, final course grades must be submitted to the registrar no later than 48 hours after the scheduled time for the final examination for any course, except law school courses. For those courses in which a final examination is not mandatory, and is not given, final grades must be reported no later than 48 hours after the last meeting of the class.

For law school faculty, the deadline for submission of grades to a registrar is five weeks after the date of the instructor’s final examination in the fall semester and four weeks in the spring semester. When a final examination is not given, the same durational terms apply, and the running of that term commences with the last day of regularly scheduled classes. In a summer session grades are due seven weeks after the instructor’s final examination or, if no examination is given, seven weeks after the beginning of the examination period.

G. Personal Faculty-Student Relationships

Personal relationships between faculty members and students raise particularly sensitive issues, and such relationships are addressed in Appendix M.
H. Teaching Children or Other Close Family Members

A faculty member should make every effort to avoid having in class a child, spouse or other person with whom the faculty member has a close, family-like relationship. If degree requirements make it imperative that the child, spouse or other close relative take a particular class from a faculty member, the faculty member should discuss the conflict with his or her academic unit head, and the academic unit head should determine whether the enrollment is appropriate. In addition, arrangements must be made for another faculty member to review the grading.

VIII. Sabbatical Leaves and Leaves of Absence

A. Sabbatical Leaves

1. Objective of Sabbatical Leaves

   The objective of the sabbatical leave program is to promote and enhance the quality of educational and research activities at IIT. This objective is more likely to be achieved when faculty members on sabbatical leave are able to devote full time to scholarly pursuits and other forms of professional improvement and intellectual growth. These activities may include research at a location having appropriate laboratory, library, and human resources; the writing of research monographs; the study of advances and techniques in a particular field of interest; or other similar activities directed toward cultural, intellectual, and professional growth and achievements that enhance the faculty member’s value to IIT.

2. Eligibility

   All tenured faculty members who have served 12 full-time academic semesters at IIT and who have attained the rank of associate professor or higher may apply for sabbatical leave. Approved leaves of absence in the course of regular academic service to IIT will not affect eligibility for a sabbatical leave, but such leaves of absence will not count toward the accumulation of the required 12 academic semesters. Faculty members who are awarded sabbatical leave must commit themselves to return to IIT for at least one full academic year of full-time service after the sabbatical. Accumulation of the 12 semesters of full-time service required for eligibility will begin upon the return to full-time academic service by a faculty member who previously has been on a sabbatical leave. Special consideration for eligibility shall be given to an individual who has been awarded a sabbatical leave and then had it postponed or interrupted at the request of the university.

3. Procedure for Making Application

   An eligible faculty member who wishes to be considered for a sabbatical leave should submit a formal written application to the Sabbatical Leaves Committee of the University Faculty Council; copies should be submitted to the faculty member’s academic unit head and the Provost. Applications should provide complete information on the nature of the planned sabbatical activities and the period of time for which the leave is requested. Applications should be made as early as possible during the academic year preceding the academic year for which the leave is requested and, in any case, prior to February 1. Applications submitted after February 1 will be considered only if the Provost apprises the committee that adequate funds have become available because of cancellations of sabbatical leaves already granted.
4. Considerations Regarding Awards of Sabbatical Leave

Recommendations for the granting of sabbatical leave are made to the Provost by the Sabbatical Leaves Committee, which is responsible for assessing the appropriateness of each proposal for sabbatical leave. As part of such assessment of appropriateness, the committee shall consider the likelihood that the proposed activity will offer significant promise of enhancing the value and usefulness of the faculty member to the IIT community of scholars. Based on its objective evaluation of each application, the committee will assign one of the following four ratings to the application: “very highly recommended,” “highly recommended,” “recommended,” or “not recommended.” On or before March 1 of each year, the Chair of the Sabbatical Leaves Committee shall transmit the recommendations regarding all applications that it has considered.

Additional recommendations are made by the applicant’s academic unit head and the college dean (in the case of an academic unit in a college with departments). After consideration of all recommendations and the consequences for the university as a whole, the Provost shall make recommendations to the President concerning awards of sabbatical leave to be made for the following year. The President makes the final decision. The Provost shall in writing notify each applicant of the decision made as to her or him.

5. Conditions of Sabbatical Leave

Several options exist with respect to sabbatical leaves: (1) for one academic year at one-half the salary that the faculty member would have received had the year been spent in residence; (2) for one semester at one-half the salary that the faculty member would have received had the semester been spent in residence; and (3) for one semester at the full salary that the faculty member would have received had the semester been spent in residence. A faculty member selecting the second option may have a second one-semester sabbatical at one-half pay after six additional semesters of full-time service. No matter the option sought, the faculty member is required to return to full-time service at IIT for a period of not less than one academic year upon expiration of the leave.

A faculty member who is granted a sabbatical leave receives the appropriate percentage of university contribution toward retirement according to the salary paid during the leave. The university will continue its regular contributions toward other benefits, including life and health insurance, while the individual’s share will be deducted as usual.

B. Leave of Absence

1. General Considerations, Requirements, and Limitations

Upon approval of the appropriate academic unit head, college dean (in the case of an academic unit that is located within a college with departments), and the Provost, a faculty member may be granted a leave of absence without salary for the purpose of professional development or for a special assignment. Ordinarily, the total leave time should not exceed two semesters out of every 12 semesters served at IIT. The faculty member may elect to maintain benefits during the period for which leave is granted by arranging to pay the university’s contribution in addition to the employee’s portion, based on his or her salary during the academic year preceding the beginning of the leave of absence.

In exceptional circumstances and with the above approvals, an agreement may be made for a leave of absence for personal reasons. Benefits may be continued at the option of the individual, but only if arrangements are made in advance of the leave for payment of the full premium, for which the
university will not contribute. In the event that no salary is paid during the leave, the individual may elect to continue participation in the retirement plan by paying, in addition to the employee’s share, the contributions that the university would have paid during the leave, according to the salary received during the year preceding the leave of absence. In all instances the Office of Human Resources should be consulted.

Arrangements must be made prior to beginning the leave of absence and will be continued for the approved term. Agreement on an exception to this policy must be reached with the appropriate academic unit head and college dean (in the case of an academic unit that is located within a college with departments) before the leave is approved. Such exception is subject to approval by the Provost.

2. Leave of Absence for Military Service and Jury Service

The university recognizes the value of, and encourages participation in, civic affairs by its faculty members. Arrangements for leaves occasioned by short-term or annual obligations for military service or jury duty should be made with the appropriate academic unit head and college dean (in the case of an academic unit that is located within a college with departments).

C. Disability Leave

From time to time IIT grants leaves of absence with pay to faculty members during periods of illness or disability. For short-term disabilities or illnesses, faculty members are granted non-occupational disability leaves as needed on a day-to-day or week-to-week basis. During short-term leaves it is expected that arrangements will be made for other faculty members within the same academic unit to staff classes conducted by the absent faculty member, rather hiring an additional faculty member.

If a disabled or ill faculty member is unable to return to work after one month, the academic unit head shall report to the college dean (in the case of an academic unit that is located within a college with departments) or to the Provost concerning the disabled faculty member’s condition and prospects for returning to work. At that time a decision shall be made concerning the need to hire a temporary replacement to take over part of the disabled faculty member’s duties. The academic unit head shall prepare a status report on pay and benefits to be sent to the disabled or ill faculty member, with copies to be sent to the college dean, if appropriate, and the Provost. During the period of approved disability leave the university will continue to pay its share of fringe benefits, with the faculty member’s share being deducted from any pay received.

After the maximum disability leave with pay has been used, a leave of absence without pay and without any contribution by the university to fringe benefit costs may be granted on an individual basis. Fringe benefits may be continued voluntarily during a disability leave within the applicable provisions of each plan.

D. Family and Medical Leave

The Faculty Family Policy (published in the Supplement to this Handbook) provides for a one semester paid leave of absence for eligible faculty for childbearing, adoption and/or childrearing. The policy also provides for automatic extension of tenure probationary periods.

Members of the faculty are also eligible to take leaves for other family needs under the Family and Medical Leaves of Absence policy, which is set forth in detail in the benefits section of the IIT Human Resources Policies and Procedures Manual, which is available on the myIIT web site.
IX. Terminations

A. Resignation of Appointment by the Faculty Member

A faculty member may terminate his or her appointment effective at the end of an academic year. In consideration of the burden placed upon the individual’s academic unit to obtain a suitable replacement, it is expected that the faculty member will provide notice in writing at the earliest possible date and ordinarily no later than April 15.

B. Dismissal or Suspension

See Suspension and Termination of Faculty Members at Appendix J.

X. Compensation, Personnel Records and Benefits Offered

A. Determination of Salary

The criteria for evaluating the performance of faculty members appear in the Standards and Procedures for Promotion and Tenure. (See Appendix C.) These criteria are applicable in all decisions requiring the assessment of merit of faculty members for the purpose of awarding compensation and advancement. Procedures for the annual review of individual faculty members’ performance have been developed by each of the academic unit heads. The dean of a college or school makes recommendations concerning salaries and other conditions of appointment to the Provost. In the case of an academic unit in a college with departments, the dean considers evaluations made by the department chairs in developing these recommendations. In the annual appointment letter, a faculty member is notified of the university’s offer of compensation during the following academic year.

B. Appeals for Adjustment in Salary

1. If a faculty member believes the salary offered for the next year to be less favorable than warranted on the basis of merit, the faculty member may request, and the dean shall provide, an explanation of the salary assignment. If the faculty member requests an adjustment in salary, he or she will be expected to demonstrate that his or her contributions either were not taken into consideration or were not given the appropriate significance in making the decision on salary. If the dean decides that there is some justification for the faculty member’s request for a salary adjustment, he or she may attempt to achieve an agreement that is acceptable to the faculty member and to the university. If the dean does not support the faculty member’s request for salary adjustment or if attempts to reach an agreement fail, the faculty member shall, after informing the dean of his or her intention to pursue the request for salary adjustment, seek to reach a satisfactory arrangement by negotiating directly with the Provost.

2. If, following the steps pursued in subsection 1, the faculty member continues to find unacceptable the salary offered to him or her, he or she may pursue an appeal by apprising the Provost within 20 days of receiving a final determination from the Provost. The Provost then shall within 10 days notify the faculty member’s dean of such appeal. The Provost shall convene a meeting within a reasonable time of the deans of IIT’s colleges and schools, except for the dean of the academic unit from which the faculty member received his or her salary. At the meeting, this Salary Appeal Panel shall designate a subcommittee of at least three panel members, and the Panel shall further designate the chair of the subcommittee.
3. The subcommittee shall evaluate all documents submitted by the faculty member, as well as by the faculty member’s academic unit head, dean (in the case of a faculty member who is located within a department of a college), and the Provost. The faculty member may appear before the subcommittee in person to present evidence in support of his or her appeal, or he or she may submit a statement in writing in lieu of a personal appearance. The subcommittee shall evaluate the appeal in light of the contributions to the work of the university expected of, and made by, other faculty members of the applicant’s academic unit. Within 100 days after receiving the appeal, the subcommittee shall report and recommend to the President either that:

(a) the appeal is justified by the evidence presented and so an upward revision of the salary should be made; or

(b) the appeal offers insufficient evidence to indicate that any revision of salary should be made, and so the appeal should be denied.

4. The President shall review the recommendation of the Panel and shall render a final decision. The Provost shall inform the faculty member of the decision.

C. Compensation

Salaries of faculty and other academic personnel are paid in 12 equal monthly installments, each on the last full working day of the month. Each installment is automatically deposited in the employee’s bank account.

Personnel record forms must be completed and returned before a faculty member may be added to the payroll. Federal and state income taxes and other deductions required by law are withheld from each paycheck. Payment of the individual’s contribution for participation in any IIT benefit plans is also made by payroll deduction.

D. Maintenance of Personnel Records for Faculty Members

Faculty personnel records are maintained in the Office of Human Resources, the office of the Provost and in the faculty member’s academic unit. Any change in name, home address, phone number, or citizenship status should be reported to the academic unit head, to the Office of the Provost, and to the Office of Human Resources.

Each faculty member is requested annually to complete a form providing information concerning research accomplishments, publications, and professional activities during the previous year. These forms become a part of the permanent personnel record for the faculty member and may be consulted in determining increases in salary and/or awards.

E. Faculty Travel

IIT recognizes the desirability of faculty participation in the activities of professional societies, presentation of papers, and discussion and participation in the context of technical and administrative committees, both national and local. The university encourages these activities by paying some or all of the necessary travel expenses within the limitations imposed by budgetary constraints.

Expenses incurred by faculty on approved university business will be reimbursed on the basis of the actual costs of transportation and living expenses, subject to IIT regulations. Faculty are expected to exercise judgment and economy in maintaining expenses at reasonable levels. Reimbursement requests must be fully detailed and must include receipts for travel and room accommodations.
F. Membership in Professional Societies

The university encourages its faculty and staff to participate in appropriate professional societies, associations, and organizations, unless participation interferes with the regular performance of university duties. Membership dues for organizations are paid by the individual faculty or staff member, unless the memberships are institutional.

G. University Holidays

Officially designated paid holidays for all university personnel are Labor Day, Thanksgiving Day, Christmas Day, New Year’s Day, Martin Luther King Jr. Day, Memorial Day, and Independence Day. Two additional holidays are selected and announced each year.

H. Vacations

Because academic appointments are normally made on a nine-month basis, no vacation time is specified, except for legal holidays. Faculty members on nine-month appointments are expected to be generally and continuously available on campus during the entire academic year, including during student recesses. The academic year extends from the first day of orientation for the fall semester to commencement exercises for the spring semester. Sections in this handbook describing faculty responsibilities during the academic year and the policy on the summer session provide more complete details. (See Section VI.)

I. Retirement Benefits

IIT offers two retirement programs, one funded through the Teachers Insurance and Annuity Association/College Retirement Equities Fund (TIAA/CREF), and the second funded through Fidelity Investments (Fidelity). Both programs are described in detail in the Summary Plan Description furnished to each employee at the time of employment and made available for inspection in the Office of Human Resources. The provisions of the Summary Plan Description are controlling.

Specific information about the programs, including eligibility, the university’s contribution, plan investments, and applications, can be found in the IIT Human Resources Policies and Procedures Manual, which is available on the IIT Web site. Provisions of the programs relating to faculty include:

1. Eligibility

   Eligible Employees: Not Eligible:
   
   full-time employees; temporary employees;
   full-time faculty; adjunct and part-time faculty;
   full-time senior research associates; student employees, including RA, TA, GA;
   full-time research associates; part-time employees working less
   part-time employees regularly than 23.25 hrs./wk.
   working at least 23.25 hrs./wk.

2. Time Frames for Eligibility

   a. Administrative officers and faculty become eligible for participation on the first day of the month following completion of one year of employment.
b. Prior employment immediately preceding hire date, with a qualifying not-for-profit educational or research organization, including IIT or IITRI, may be substituted for the waiting period, making the employee eligible for immediate participation.

3. **Plan Contributions**

After the employee has completed the required documents, the university will contribute 5 percent of the employee’s base salary to either retirement program. In addition, the university will increase its contribution by matching the employee’s contribution up to a maximum additional contribution of 4 percent. Total IIT and employee contributions to either program must not exceed the amount mandated by current federal tax law.

4. **Plan Investments**

Under either program the employee may determine the portion of the combined sum to be allocated to purchase a fixed-income annuity or an equity fund annuity. The allocation may be changed at any time by contacting the plan. Participation for a minimum of one year in either TIAA-CREF or Fidelity is required before an employee can request transfer to the other plan.

5. **Participation While on Leave of Absence or Upon Separation**

To be eligible for participation in the retirement plan, the employee must be on the active payroll. Therefore, while on unpaid leave, on workers’ compensation leave, and upon separation, participation in the plan will be suspended.

J. **Group Hospitalization and Medical-Surgical Insurance**

IIT offers a group plan for hospitalization and medical-surgical insurance. All regular full-time employees may secure coverage within 30 days after application, typically on the first day of the month following the month in which employment begins. The university pays a portion of the cost for various types of coverage. Specific information regarding health care coverage can be found in the *IIT Human Resources Policies and Procedures Manual*, which is available at the IIT Web site.

K. **Group Life Insurance**

The university provides a group decreasing-term life insurance plan for its employees. Full-time members of the faculty and administrative officers are eligible for insurance under the plan as of the first day of the month coinciding with, or next following, the initial date of employment. Specific information regarding group life insurance can be found in the *IIT Human Resources Policies and Procedures Manual*, which is available at the IIT Web site.

L. **Long-Term Disability Benefit Plan**

IIT offers a plan for total disability insurance in which eligible employees are automatically enrolled. Specific information regarding the long-term disability benefit plan can be found in the *IIT Human Resources Policies and Procedures Manual*, which is available at the IIT Web site.

M. **Dental Plan**

The university offers a plan for dental benefits in which eligible employees may participate on a voluntary basis at their own expense. This program offers both a preferred provider option and a managed network dental program with over 500 general family dentists practicing in the Chicago area.
metropolitan area. Specific information regarding dental insurance can be found in the *IIT Human Resources Policies and Procedures Manual*, which is available at the IIT Web site.

N. Flexible Spending Accounts

Full-time faculty and staff are eligible to participate in a flexible spending program, which allows the employee to pay, on a before-tax basis: (1) health care coverage premiums; (2) certain medical expenses that are not covered under the university’s health care plan; and (3) certain dependent (child and elder) care expenses. Participation is on a fiscal year schedule. Specific information flexible spending accounts can be found in the *IIT Human Resources Policies and Procedures Manual*, which is available at the IIT Web site.

O. Social Security and Medicare Benefits

The university and employee each pay equal amounts toward the FICA and Medicare taxes, as established by the Social Security Administration.

P. Educational Benefits

Spouses, eligible domestic partners, and dependent children of full-time faculty members are eligible for tuition waiver for undergraduate study and a 50 percent tuition waiver for graduate work. Tuition credit from IIT funds will be reduced by any amount of financial aid from outside sources for which the student may qualify. Details of the tuition benefit can be found in the *IIT Human Resources Policies and Procedures Manual*, which is available at the IIT Web site.

Faculty members and staff are also eligible to participate in a tuition scholarship exchange program to which IIT and several hundred other colleges and universities belong. To enable full-time faculty members to acquire additional expertise or to broaden their knowledge outside their areas of specialization, full-time faculty members may audit courses without tuition charge, subject to the provisions for granting permission to audit courses to graduate students. No full-time faculty member of the rank of assistant professor or above may be a candidate for any degree offered at IIT except with the specific approval of the Provost. If a full-time faculty member wishes to take a course for credit, whether or not that credit may be applied toward requirements for a degree from IIT, an application for a tuition scholarship may be obtained from the Office of Human Resources and, once submitted, must be approved by the Vice Provost for Academic Affairs. Full-time faculty members may apply for a waiver of the registration fee for offered courses that do not yield academic credit.

Payment of regular tuition is required of all faculty members not in full-time employment status. Graduate teaching assistants and graduate research assistants hold tuition scholarships in addition to the stipend awarded, according to the terms of their appointments.

Faculty and their family members who register for courses shall be given the same considerations and shall be held to the same expectations that apply to other IIT students with regard to qualification for admission to a degree program, meeting prerequisites for registering in a given course, and fulfilling requirements for a degree.
Appendix A
Constitution of the Faculty of Illinois Institute of Technology

Article I - Name

This organization shall be known as the Faculty of Illinois Institute of Technology.

Article II - Purpose

The purpose of this organization is the advancement of education, scholarship, and research at Illinois Institute of Technology through:

A. the formulation of academic policy;
B. the maintenance of academic standards; and
C. general participation in the affairs of the university.

Article III - Membership

A. The Faculty shall include the President, the Provost, all members of the academic staff who hold regular full-time faculty appointments at the university, and professors emeriti, but shall not include candidates for degrees from the university.

B. The President, the Provost and all Category I faculty as defined in the body of the Faculty Handbook shall be deemed “regular voting members” of the Faculty.

C. A majority of the regular voting members of the Faculty voting at a meeting of the university faculty at which a quorum is present may extend fixed-term membership and voting rights to other faculty members as specified in Article I of the by-laws (Appendix B).

Article IV - Officers of the Faculty

A. The President of Illinois Institute of Technology shall be the President of the Faculty.

B. The Secretary of the University Faculty Council shall serve as the Secretary of the Faculty.

Article V - Powers and Duties of the Faculty

Subject to the by-laws of the university, as endorsed by the Board of Trustees, and to the exercise of the powers and duties vested in the Board of Trustees by the laws of the state of Illinois, the Faculty:

A. shall be responsible for the educational program of the university;
B. shall approve or disapprove all degree programs and all changes in curricula of the university;

C. shall initiate inquiries about, review, and pass on such matters as may affect the educational program;

D. shall examine and make recommendations concerning the general quality of student life:
   1. to enhance the educational programs for students,
   2. to enrich students' college experience in general, and
   3. to improve students' capacity for responsible self-government;

E. shall review grievances and make recommendations concerning academic freedom, tenure, and faculty appointments;

F. shall, as specified in the by-laws, elect or appoint such committees as may be required to conduct its affairs; and

G. shall interpret and apply the provisions of this Constitution.

Article VI - The University Faculty Council

A. Except as otherwise provided in this Constitution, the Faculty shall delegate the exercise of its powers and duties to a University Faculty Council, hereinafter sometimes called the UFC.

B. The University Faculty Council shall consist of 25 members of the Faculty, selected as specified in the by-laws.

C. The University Faculty Council shall elect a Chair, Vice-Chair, and Secretary from among its members.

D. Rules of procedure of the University Faculty Council are specified in the by-laws.

E. The University Faculty Council shall have jurisdiction over such university matters as: academic freedom and tenure; faculty governance; financial affairs; computing services; undergraduate and graduate admissions; library matters; sabbatical leaves; student affairs; student academic grievances; graduate and undergraduate studies; nominations and elections related to faculty governance activities; and coordination of academic programs.

F. Either the President or the Provost or both shall meet with the University Faculty Council at least once per academic year and at other times at the reasonable request of any one of the parties.
G. The most recent previous UFC chair will serve in the capacity of “past-chair” as a non-voting officer (unless they are also a regular voting member of the UFC) serving in an advisory role.

Article VII - The Faculty Senate

A. The Faculty Senate shall be composed of tenured professors, tenured associate professors, and active professors emeriti of the university.

B. The Senate may convene, in accordance with the by-laws, to express its opinion on any significant issue of general concern to its membership.

Article VIII - Meetings of the University Faculty

A. Not less than once each semester the University Faculty Council shall report its deliberations, decisions, and actions taken during that semester to the Faculty, at a meeting of the Faculty.

B. At the request of a majority of the University Faculty Council or of the President, the Faculty may act on matters of particular significance brought before it by the University Faculty Council or the President. Any such action of the Faculty shall supersede any action of the Council.

C. The Faculty may convene at any time in a special meeting called in accordance with the by-laws. At any such special meeting the Faculty may exercise its powers under Article V of this Constitution.

D. Rules for meetings of the Faculty are specified in the by-laws.

Article IX - Academic Units

A. An academic unit is an academic department, institute, school, or college without departments, which unit has at least one tenured faculty member whose primary appointment is in that unit, and which unit grants degrees. An academic unit shall formulate its basic policies only after discussion between the faculty and the chair or dean or director of that unit.

B. Whenever the chair or dean or director of an academic unit submits to a committee of the university or an administrative officer a recommendation affecting the basic policies of the academic unit, the recommendation shall include a statement of the position of the tenured members of that unit on the recommendation.

C. Tenure appointments shall be made only after due consultation with the tenured members of the academic unit in which the appointment is to be made in accordance with the current Promotions and Tenure Procedures of the University, as set forth in Appendix C.
Article X – Amendments

A. This Constitution may be amended by a three-fifths majority vote of those voting at any meeting of the Faculty at which a quorum is present, provided that the Faculty shall have received the proposed amendment, in writing, not less than one month prior to the meeting. Any member or members of the Faculty may submit a proposed amendment.

B. The by-laws of this organization may be amended by a majority vote of those voting at any meeting of the Faculty at which a quorum is present, provided that the Faculty shall have received the proposed amendment, in writing, not less than two weeks prior to the meeting. Any member or members of the Faculty may submit a proposed amendment.

1. Action by the Faculty. A majority of the faculty voting at a Faculty meeting at which a quorum is present, provided that the Faculty shall have received the proposed amendment, in writing, not less than two weeks prior to the meeting.

2. Action by the University Faculty Council. Upon receipt by the University Faculty Council of a proposed amendment to the by-laws, the University Faculty Council shall solicit comments from the academic units and present the proposal for discussion at a regular or special Faculty meeting. After receiving comments from the academic units and from the Faculty meeting, the University Faculty Council shall consider the original proposal, and any proposed modified form of the proposal, in light of the comments. If the University Faculty Council approves the proposed amendment, either in its original or in a modified form, by a vote of no less than two-thirds of the entire voting membership of the University Faculty Council, the University Faculty Council shall distribute to each eligible voting Faculty member a copy of the proposed amendment along with any supporting documentation. Subsequent to that approval, and upon request of at least 10 eligible Faculty voters, the University Faculty Council shall refer the proposed amendment for further consideration to the Faculty in accordance with subsection B.1, above. Upon submission of the proposal to the Faculty, the University Faculty Council shall cease to have jurisdiction as to the matter. If the University Faculty Council has not received such a request from at least 10 eligible Faculty voters within 30 days following distribution of the proposal, then the approval of the proposed amendment by the University Faculty Council shall be final.

Article XI - Authority Vested in the Board of Trustees

Under the laws of the state of Illinois, responsibility for the operation of the university is vested in its Board of Trustees, and accordingly:

A. this Constitution and any by-laws adopted hereunder are subject to amendment or revocation by the Board;

B. any and all rights, powers, duties, or responsibilities vested by this Constitution or its by-laws in the Faculty, University Faculty Council, Faculty Senate, or any officer or member
must conform to the by-laws of the university, as adopted and amended by its Board of Trustees; and

C. any and all actions or decisions taken or made pursuant to this Constitution or its by-laws are, at the election of the Board of Trustees of the university, subject to review and revision by the Board of Trustees.

Article XII - Shared University Governance

The Faculty, acting through the University Faculty Council, shall provide recommendations to the President on matters of university policy prior to action on those policies by the President or the Board of Trustees. If a policy is referred to the Board for action, the President shall convey the recommendations of the Faculty to the Board along with the President’s own recommendation. All such recommendations also shall be distributed to the Faculty. Nothing in this article is intended to preclude any faculty member or any academic unit from communicating directly with the President on any issue or to preclude the President from soliciting advice or comments from any faculty member or academic unit. The University Faculty Council may make recommendations on all matters of university policy including, but not limited to, the following:

A. formation of the university budget;
B. allocation of the university’s resources and facilities;
C. long-range planning of the university;
D. standards of appointment, reappointment, promotion, tenure, and termination of members of the Faculty;
E. composition of Faculty benefits and other matters of similar concern to the Faculty;
F. appointment of all major academic officers, starting at the level of department chairs, deans, and directors;
G. establishment or discontinuance of existing academic units with constituent faculties, the renaming of academic units, the merging of academic units, and the transfer of academic units between constituent faculties;
H. new degrees and the discontinuance of existing degrees;
I. admission standards and academic requirements for students;
J. standards for curricula and content of all degree programs;
K. standards and facilities for research and scholarship;
L. evaluation of current programs, policies, and organizational structures with regard to their effectiveness;
M. the development and introduction of new programs, policies, and organizational structures;
N. awarding of degrees;
O. awarding of honorary degrees;
P. methods and procedures for evaluating faculty and academic unit performance;
Q. methods and procedures for evaluating the performance of the administration and of administrative units;
R. declarations of financial exigency; and
S. amendments to the Faculty Constitution and/or by-laws.
Appendix B

By-Laws of the Faculty
of Illinois Institute of Technology

Article I - Faculty Voting Rights

A. The Faculty of the University is defined in Article III.A of the Constitution (Appendix A).

B. The regular voting members of the Faculty are defined in Article III.B of the Constitution (Appendix A).

C. The regular voting members of the Faculty may extend the vote, on a fixed-term basis, to other members of the Faculty.

D. A list of candidates for fixed-term voting membership shall be prepared by the University Faculty Council for action by the Faculty at its regular spring meeting. If there is no vote at the spring meeting due to failure to have a quorum at the meeting, then the recommendation made by the University Faculty Council at its meeting prior to the full faculty meeting is implemented. The term of such membership shall be for the next academic year.

E. The regular voting members of the Faculty, along with fixed-term voting members, shall constitute the voting members of the Faculty.

Article II - Officers of the Faculty

The President of Illinois Institute of Technology shall be the President of the Faculty, and the Secretary of the University Faculty Council shall be the Secretary of the Faculty.

Article III - Procedures for Meetings of the Faculty

A. The President of the university shall serve as chair of regular meetings of the Faculty. In contemplation of his or her absence the President may designate the Provost or the Chair of the University Faculty Council to chair these meetings.

B. Absent special circumstances, the regular meetings of the Faculty shall be held in November and in April.

C. Special meetings of the Faculty may be convened at any time by:

1. the President;

2. a majority of the University Faculty Council;

3. the Faculty, when a meeting petition, proposed agenda, and supporting documents have been circulated among the Faculty and the petition has been signed by at least
15 percent of the voting members of the Faculty. The petition, agenda, and supporting documents shall be forwarded to the Secretary of the University Faculty Council, who shall transmit them to the Faculty.

D. The Provost shall chair meetings convened pursuant to subsection C.1 and the Chair of the University Faculty Council shall chair meetings convened pursuant to subsections C.2 and C.3.

E. The Secretary of the University Faculty Council shall:

1. prepare, with the assistance of the Provost, a current list of the members of the Faculty and their voting status at the beginning of each semester;
2. assemble and transmit to the Faculty the agenda and supporting documents at least seven days in advance of all Faculty meetings; and
3. keep the minutes of each faculty meeting and transmit them to the Faculty within 14 days after the meeting, not counting the day of the meeting itself.

F. Twenty-five percent of the voting members of the Faculty constitutes a quorum for Faculty meetings.

G. Procedures at meetings shall be governed by the latest edition of Robert’s Rules of Order.

Article IV - The University Faculty Council

A. The University Faculty Council (UFC or Council) shall consist of 25 regular voting members of the Faculty.

B. Each academic unit in which no fewer than three regular voting members of the Faculty hold their primary appointments shall be entitled to at least one seat on the UFC. The remaining seats shall be distributed proportionally among the university's colleges, schools, and institutes according to the following rule: the number of additional representatives from each entity is established by the nearest integer to 25 minus X (X being the number of seats allocated initially) times the ratio of regular voting members in that entity to that of the university as a whole. If the total number of seats determined by this method differs from 25 due to the rounding of fractions, the number of seats allocated to the entity or entities with faculty proportion(s) nearest but not over the break point(s) shall be adjusted to bring the total number to 25. In the case of ties, units shall be prioritized for additional members by those AUs with the highest number of full professors, then associate professors, then assistant professors, then active emeriti; then, in the case of a remaining tie, by decision of the current UFC chair. The initial allocation of seats shall be made by the UFC sitting prior to the adoption of this provision. Thereafter, the allocation of seats shall be reviewed no less often than every five years by the UFC.

1 A primary appointment shall be determined on the basis of the faculty member’s tenure. See Appendix H.
C. The terms of UFC members shall be for three years. If a seat becomes vacant before the end of its normal term, the college or school that elected the member shall hold a special election as soon as possible to elect a replacement member to serve out the remainder of the term.

D. Elections at the academic unit level for seats on the UFC shall be held no later than April 15. The voting faculty of each academic unit shall determine the method and criteria for electing its representatives.

E. The UFC's session is the twelve-month period commencing on August 15 of each year.

F. The UFC shall elect a chair for a two-year term from among its members. If the elected chair is in the third year of his or her UFC membership term, and is not reelected from his or her unit, then he or she will become an ex officio voting member of the council during his or her second year as chair. The UFC shall elect a vice-chair and a secretary from among those individuals who will be UFC members in the forthcoming session of the Council to serve one-year terms. The regular election of officers shall be held in May, and the officers shall take office with the commencement of the next session of the Council on August 15.

G. Absent special circumstances the UFC shall meet at least once each month during the regular school year, and it shall publish by e-mail or otherwise its agenda at least one week prior to each regularly scheduled meeting. The Council also may meet in special session, in which case a copy of its agenda shall be distributed to the Faculty in advance of the meeting to the extent feasible.

H. A majority of the UFC shall be a quorum for the conduct of business. The Council may adopt such rules of procedure as are deemed necessary or useful to the orderly conduct of its affairs, provided that such rules are not in conflict with these by-laws.

I. Minutes of UFC meetings shall be distributed broadly throughout the university. All meetings shall be open to the Faculty.

The UFC shall conduct part of its work through standing and ad-hoc committees, as identified in Article V below, the members of which shall be appointed by the UFC Chair, subject to the advice and consent of the Council, except as otherwise provided in Article V.

J. The UFC shall choose from among its members the chairs of each of the committees of the Council, except as provided in these by-laws.

K. The Secretary of the UFC shall compile and distribute to the entire Faculty during the fall semester a roster of Council committees together with their respective charges and memberships.

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2 At the first meeting of the UFC following the first election under these by-laws, a lottery system shall be used to establish one-third of the membership as having three-year terms, one-third as having two-year terms, and the remainder as having one-year terms.
L. No later than April 1 of the year in which the term of the Chair of the Faculty Senate expires, the UFC shall nominate a new Chair of the Faculty Senate. The UFC will inform the Faculty Senate of the nomination no later than April 7 of that year. If no more than fifteen members of the Faculty Senate object to the nomination, the nominee is accepted by the Faculty Senate as its Chair for a term of two years. If fifteen members of the Faculty Senate express objections to the nominee, then the UFC shall conduct an election by members of the Faculty Senate to elect a new Chair.

M. The University Archivist shall preserve minutes of Council and Faculty meetings and all committee reports and other reports received, accepted and/or approved by the Faculty and/or the UFC. The Archivist also shall keep for public reference up-to-date copies of the Constitution and by-laws of the Faculty.

N. The university administration shall make available on an ongoing basis administrative support to the UFC.

**Article V - Committees**

A. There shall be an Academic Affairs Committee consisting of no fewer than three faculty members, at least two of whom shall be UFC members. This committee shall recommend procedures and policies concerning education and research, academic freedom and privilege, tenure, and criteria for faculty and administrative appointments and promotions. In addition, the committee shall conduct studies and make recommendations in areas related to academic affairs, as deemed appropriate for assignment to it by the UFC.

B. There shall be an Academic Freedom and Tenure Committee consisting of no fewer than three faculty members, at least two of whom shall be University Faculty Council members. This committee shall serve as a preliminary review committee for faculty grievances according to the procedures described in this Faculty Handbook (Appendix I).

C. There shall be a Financial Affairs Committee consisting of no fewer than three faculty members, at least two of whom shall be UFC members. This committee shall have three primary responsibilities: (i) it shall monitor university finance and budget matters and make an annual report regarding such matters to the Faculty; (ii) it shall prepare an annual faculty salary survey; and (iii) it shall periodically review and, if appropriate, make recommendations regarding policies on faculty salary and fringe benefits.

D. There shall be an Undergraduate Studies Committee (UGSC) that shall review and recommend to the UFC and the university faculty new programs and the financial support needed to implement them. The UGSC shall formulate policy and recommend to the UFC and the university faculty general education and graduation requirements as well as admission standards. The UGSC shall review, approve, and inform the UFC of course and program modifications, including ancillary university-wide academic policies related to undergraduate programs, such as testing, placement, proficiency, and grading. The UGSC shall review, as needed, existing degree programs, particularly those not subjected to external accreditation review, and report its findings to the UFC.
1. Each spring, the UFC will appoint a chair of the UGSC for the coming academic year. The person appointed need not be a member of the UFC but must be a member of the IIT faculty with voting rights.

2. Each Academic Unit (AU) offering one or more continuing undergraduate degree programs shall annually elect a voting member to the UGSC. AU representatives to the UGSC may succeed themselves without limit.

3. The ROTC Group shall annually elect one voting member of the UGSC. There shall be one student voting member of the UGSC, chosen annually by the UFC based on criteria established by the UFC, and a recommendation made to the UFC by the Undergraduate Student Government.

4. Each AU that offers undergraduate programs or courses, but does not offer an undergraduate degree program shall annually elect a non-voting member to the UGSC. Elected members may succeed themselves without limit.

5. Ex-officio, non-voting members of the UGSC are: the Vice Provost for Academic Affairs, the Dean of Students, the Dean of Libraries, the Associate Vice Provost for Undergraduate Affairs, the Director of Undergraduate Admissions, the Director of the Academic Resource Center, the Director of the Office of Technology Services, the Registrar, the Vice Provost for Admissions and Financial Aid, and the Vice Provost for Student Access, Success and Diversity Initiatives.

E. There shall be a Graduate Studies Committee which shall consider and recommend to the University Faculty Council changes in the graduate program and minimum entrance requirements to the graduate school. In addition, it shall periodically review the graduate programs offered by each Academic Unit.

1. The Chair of the committee shall be the Vice Provost for Academic Affairs.
2. Each Academic Unit program that offers a graduate degree shall annually elect a member to the committee. Elected members may succeed themselves without limit. Any Academic Unit may send additional non-voting representatives to any meetings of the committee.
3. The Provost shall be an ex-officio member of the committee.
4. The assistant to the Associate Provost for Academic Affairs shall be an ex-officio non-voting member of the committee.

F. There shall be a Sabbatical Leaves Committee consisting of no fewer than three regular voting members of the Faculty. This committee shall review requests for such leaves, and it shall make recommendations to the Provost regarding such requests. It also shall review, if it so chooses, the university’s sabbatical leave policies and practices and make recommendations to the UFC regarding such.
G. There shall be a University Library Committee comprised of the Dean of Libraries (ex officio), 8 to 10 faculty members broadly representative of the breadth of academic disciplines, and a student representative from both the graduate and undergraduate colleges. Faculty appointments to the University Library Committee shall be nominated by the Dean of Libraries and approved by the UFC. The term of faculty appointments shall be two years. Student representatives from the Government of the Student Body shall be appointed by the President of Student Government. The term of student appointments shall be one year. The committee shall annually elect a chairperson from their faculty representatives. The University Library Committee shall be responsible for advising University Administration on Library affairs, it shall serve as the chief external advisory group to the Dean of Libraries, it shall act as liaison between the University Libraries and faculty and, when appropriate, it shall provide a faculty perspective on strategic, budgetary and policy matters of concern to the Libraries.

H. There shall be an Academic Computing Committee consisting of no fewer than two faculty members, the Chief Information Officer or his or her designate, and the Director of the Academic Resource Center. Its charge shall be to review computing resources and policy for the University, and make recommendations to the UFC.

I. There shall be a Student Affairs Committee that shall make recommendations to the University Faculty Council concerning the quality of student and campus life, particularly as it affects academic programs. The committee shall consist of no fewer than three faculty members of which at least two shall be members of the University Faculty Council. There shall be at least one undergraduate student and one graduate student who shall serve as non-voting members of the committee. The UFC shall invite the submission of candidates for non-voting membership by the Student Leadership Council, the Chicago-Kent Student Bar Association, and any other major student governance organization that the Council deems appropriate for representation on the committee. If such organizations fail to designate student representatives by September 15, the committee chair shall seek out student members.

J. There shall be an Academic Grievance Committee, consisting of no fewer than three faculty members of which at least two shall be members of the UFC, that shall adjudicate alleged student academic violations and substantive student grievances against instructors, but only to the extent that such grievances give rise to claims recognized in this or other university publications (such as the IIT Student Handbook and the Chicago-Kent Code of Student Conduct) as appropriate for adjudication by this committee.

K. There shall be an Interdisciplinary Oversight Committee to provide oversight for university interdisciplinary programs, including the Interprofessional Projects Program (IPRO). This committee, which will curate and guide the development of IPRO, shall consist of the following: one to two Category 1 or Category 2 faculty representatives of each of the colleges with undergraduate students, the IPRO director and the executive director of the Kaplan Institute. At least 50 percent of the committee must consist of Category 1 faculty. The term of service on the committee will be two years, with no term limits. Committee members will be nominated by college faculty in March for each expiring term, and UFC will approve appointments in April of that year.
L. The UFC Chair may appoint ad hoc committees from time to time.

M. Each of the foregoing committees shall prepare and distribute at least one written report per UFC session describing its activities and findings. Such reports shall be distributed by e-mail or otherwise to the Faculty prior to the regular spring Faculty meeting, if that is feasible. The preparation and distribution of the reports of all committees shall be the responsibility of the respective committee chairs.

Article VI – Faculty Senate

A. The Faculty Senate is comprised of tenured professors, tenured associate professors, and active professors emeriti of the university.

B. The Faculty Senate shall select a chair for a two-year term, in an election conducted by the UFC pursuant to Article IV.L., above.

C. The Chair of the Faculty Senate shall serve as a non-voting Senate representative on the UFC if he or she is not already an elected member of the UFC.

D. Meetings of the Senate are convened upon petition by at least 15 percent of its membership, which petition shall be submitted to the Chair of the Faculty Senate, who promptly shall convene a meeting if the petition has the requisite number of signatures. The petition agenda, and supporting documents, shall be distributed to its members at least one week prior to the meeting.

E. Twenty-five percent of the Senate membership shall constitute a quorum.

F. Procedures at Senate meetings shall be governed by the latest edition of Robert’s Rules of Order.
Appendix C
Standards and Procedures
for Promotion and Tenure

I. Preamble
This document sets forth standards and procedures for faculty promotions and appointments to
tenure. These standards and procedures provide the basic means that permit the university to be a
national leader in teaching, scholarship, and research.

An appointment to a tenured position is tangible recognition of significant accomplishments in
scholarship and teaching. Tenure represents an expression of faith in an individual based on the
clear expectation that he or she will continue to contribute substantially, at a high level of broadly
recognized excellence, to research, education, and scholarly work at Illinois Institute of Technology
(IIT). Promotions to the rank of professor and initial appointments to that rank are made in
recognition of (1) significant and broadly recognized distinction attained by the individual in his or
her field, and (2) that individual's service to the profession, to the university, and to the public. It is
important that such appointments be made with the greatest care, and that representatives of both
the faculty and the administration be involved in the evaluations leading to promotion and tenure
decisions.

This document sets forth the conditions whereby the advice of the faculty is secured in the
deliberations leading to the Provost’s recommendation to the President for the latter’s final action
concerning promotions and the award of tenure. IIT is a private institution and the decision to award
tenure or to make a promotion is, by authority of the Board of Trustees, vested in the President.
While professional qualifications as determined by the faculty and the administration are the
paramount consideration, promotion and advancement to tenured status are also influenced by
university needs, plans, and resources.

II. Standards
The criteria outlined below are, of necessity, of sufficient generality to be applicable to all academic
units of the university. They signify the university’s goal of academic excellence and its desire to
provide a university-wide basis for achieving that excellence.

A. Academic Units
An academic unit is an academic department, institute, school, or college without
departments, which unit has at least one tenured faculty member whose primary
appointment is in that unit, and which unit grants degrees.

B. Documentation of Standards
Proper evaluation of candidates for tenure appointments and for promotions to the rank
of professor must be based on clearly defined standards of academic quality. Inasmuch as
there may be significant differences in the spirit and traditions of the individual
disciplines comprising IIT, standards may vary from one profession to another.
Consequently, each academic unit is expected to formulate its own standards and
guidelines for the evaluation of its faculty. Academic unit heads shall supply copies of
these standards with any amendments and revisions to the Provost for approval. A copy of the appropriate set of standards shall be given to each faculty member by the Office of the Provost at the time of the faculty member’s initial appointment. A faculty member being considered for tenure shall be evaluated following the standards given to him or her at the time of initial appointment unless he or she agrees to be evaluated following a version revised or amended subsequent to that initial appointment.

C. Criteria for the Formulation of Departmental and College Standards

Three general categories of academic merit are to be considered, but are not necessarily to be accorded equal weight:

1. Research, scholarly, and artistic contributions, and equivalent individual accomplishments

   a. Scholarship and equivalent individual accomplishment are demonstrated by, but are not limited to, published books, journal articles, and reports, particularly those subject to prepublication reviews; the impact of the totality of publications on the advancement of a particular discipline; research support; invited presentations at international and national conferences; lectures and seminars for universities, professional groups, and the public; participation in competitions and exhibitions; shows in museums and galleries; prizes and awards; critiques of the work in professional journals; reviews of papers and books for professional journals and publishers; and suitable participation in radio and TV programs.

   b. All standards must provide for evaluation of a candidate’s scholarship or equivalent individual accomplishment by people outside of IIT who have well-established and substantial professional reputations.

2. Teaching and educational achievements

   a. Accomplishments in teaching are demonstrated by such evidence as performance evaluations by faculty and students; evaluations of scholarly contributions by professional colleagues; participation in the advising of students; supervision of theses and projects; development of new courses; participation in revision and development of curricula; introduction of special teaching techniques; participation in the production of educational films; TV presentations; and video, audio, and computer-based educational materials.

   b. Each academic unit shall adopt a specific and standardized procedure to be used for the evaluation of the teaching of all probationary faculty. The procedure chosen must be systematic and documentable. It may include written student evaluations and peer visits to classes that are followed by written reports. The teaching of every probationary faculty member shall be evaluated each academic year and the faculty member shall be provided with appropriate feedback concerning strengths and weaknesses. A written report on each candidate’s
teaching ability, based on this evaluation, will accompany the recommendations from the academic unit as to promotion.

c. Contributions to pedagogy shall be documented through such accomplishments as publications, development of new courses, professional presentations on teaching, and evidence of recognition within and outside IIT.

3. Service to the department, university, and profession

   a. Service to IIT is demonstrated by such activities as significant participation on academic unit, college, University Faculty Council, and other university committees; involvement with student organizations and other student activities; advising of student branches of professional societies, student clubs, fraternities, and sororities; assisting the administration on special assignments; development of interdisciplinary programs and centers; organization of continuing education courses; participation in student recruitment; assistance in career days, open houses, and other IIT events; and performance of public service functions.

   b. Service to the profession is demonstrated by a significant level of activity in professional societies on the local and national level, as well as by such activities as evaluation of proposals for funding agencies, refereeing of articles for professional journals and conferences, service as a member of an editorial board, jury duty in professional competitions, service on government committees, service as an expert witness or arbitrator, participation in continuing education programs, and professional consulting.

III. Procedures for Promotion to Tenure

A. Committees and Individuals Involved in the Review Process

Decisions on promotion and tenure are, by authority of the Board of Trustees, vested in the President of the university. For each candidate, the Provost is expected to make recommendations to the President based on consideration of university needs, plans, and resources, and on the recommendations submitted by the following faculty committees and individuals:

1. the Academic Unit Committee on Promotion and Tenure (AUCOPT);

2. the Campus Committee on Promotion and Tenure (CAMCOPT);

3. the University Committee on Promotion and Tenure (UCOPT); and

4. the head of the academic unit and, in the case of a college with departments, the dean of the candidate’s department.

The recommendations of the faculty committees as to any candidate are the result of the consideration of the portfolio of the candidate and any additional information or
recommendations provided at the request of the committees by appropriate persons, including the candidate, professional peers from outside IIT, fellow faculty members, the Provost, the academic unit head, and students.

Recommendations made by the Provost and academic unit head shall involve not only consideration of professional qualifications, but also additional criteria relating to academic unit or college needs, plans, and resources.

B. Faculty Committees for Promotion to Tenure

The various faculty committees are charged by the faculty and the administration with responsibility for evaluating the professional qualifications of a candidate based on the approved standards formulated by the candidate’s academic unit and in light of the broader goals and aspirations of the university.

1. The AUCOPT shall consist of all tenured members of an academic unit (including the academic unit head). In units with fewer than three tenured faculty members, faculty members from other units shall be added to bring the number to at least three. The choice of extra-unit members will be made by the Provost in consultation with the academic unit faculty. To maintain the separation between administrative and faculty review of promotion and tenure cases, academic deans who are not academic unit heads, the Provost, and the President are not eligible for membership on an AUCOPT and shall not participate in its deliberations. The committee shall select its chair; provided that the chair of an academic unit may not act as chair of its AUCOPT. All substantive votes shall be cast by secret ballot. The term “academic dean” denotes only the dean who provides an independent evaluation of the candidate to the Provost.

2. The CAMCOPT shall be composed of tenured members of the faculty and will be broadly representative of the entire faculty. CAMCOPT shall contain at least one member from each academic unit. Committee members will be nominated by the faculty of each academic unit and appointed by the Provost. At least one nominee from each unit should be a full professor. Each unit shall nominate and the Provost shall appoint a CAMCOPT alternate who shall serve if a unit’s member of the CAMCOPT is unavailable. CAMCOPT members will serve three-year terms beginning on the first day of the academic year, with approximately one-third of the members appointed each year. To maintain the separation between administrative and faculty review of promotion and tenure cases, academic unit heads, academic deans, the Provost, and the President are not eligible for membership on CAMCOPT and shall not participate in its deliberations. CAMCOPT shall meet and elect a chair prior to the end of the spring semester. A majority of CAMCOPT members shall constitute a quorum. All substantive votes are to be cast by secret ballot.

3. The UCOPT shall be composed of tenured members of the faculty and shall be appointed by the Provost from a list of nominees proposed by the University Faculty Council. It shall consist of eleven members. The members shall come, to the extent feasible, from the academic units in proportion to the number of tenured and tenure-
track faculty each unit bears to the university total. In any event, at least one faculty member shall represent each of the following: Armour College of Engineering, the College of Science, Chicago-Kent College of Law, the College of Architecture, the Graduate School of Design, the College of Human Sciences, the Stuart School of Business and the School of Applied Technology. The members will serve three-year staggered terms. Approximately one-third of the committee membership shall be replaced each year. Retiring members shall not be eligible for reappointment for three years following their retirement. To maintain the separation between administrative and faculty review of promotion and tenure cases, academic unit heads, academic deans, the Provost, and the President are not eligible for membership on a UCOPT and shall not participate in its deliberation.

The Chair of the committee shall be selected by the committee and appointed by the Provost before the end of the spring semester. A majority of committee members shall constitute a quorum. All substantive votes shall be cast by secret ballot.

The term of a UCOPT session shall run for a full year, beginning on the first day of the academic year.

C. General Format of Procedures for Appointment to Tenure

1. A list of the candidates for tenure appointments shall be prepared by each academic unit for the Provost, who will transmit this information to the appropriate faculty committees. The list shall consist of (a) faculty members who must be considered for promotion, i.e., assistant professors in their sixth year in the rank or seventh year in certain instances (see Section V.A.3., below) and associate professors in their third year in that rank or fourth year in certain instances (see Section V.B. 2., below; (b) faculty members recommended for early consideration by the head of an academic unit or other senior faculty member; and (c) faculty members requesting consideration for themselves during a year in which consideration is not mandatory.

2. Each candidate shall compile a portfolio as described in subsection III.D., below, and shall submit one copy of the portfolio to the AUCOPT and one copy to the head of his or her academic unit.

3. In coordination with the academic unit head, the AUCOPT shall supplement both copies of the portfolio with external letters of recommendation and any additional information that it may deem relevant. It shall evaluate each candidate against its published standards as being recommended or not recommended for award of tenure. This evaluation, with the votes in each category being recorded, shall be transmitted with the portfolio to the next highest committee.

4. The CAMCOPT shall review the portfolio submitted by the AUCOPT. It may seek additional information in the form of letters or personal interviews from the candidate, the academic unit head, the Provost and other colleagues and will ask a faculty member from the candidate's discipline to meet with CAMCOPT if the
CAMCOPT representative from the candidate's academic unit is not from the candidate's discipline. The CAMCOPT will rate each candidate in accordance with the relevant standards as being recommended or not recommended for the award of tenure. It will then transmit its evaluation with the portfolio to the UCOPT.

5. The UCOPT shall review the portfolio containing the evaluations by the AUCOPT and CAMCOPT and shall make its own independent evaluation. The UCOPT may seek additional information in the form of letters from, or personal interviews with, the candidate and other individuals. The UCOPT shall rate each candidate in accordance with the relevant standards as being recommended or not recommended for award of tenure, with the total votes in each rating being recorded. The complete portfolio, along with the AUCOPT, CAMCOPT and UCOPT ratings, shall be transmitted to the Provost, and a copy shall be sent to the President.

6. The head of the academic unit shall present the second copy of the portfolio with his or her other evaluation to the Provost, or in the case of a college with departments, to the dean of the college.

7. The college dean shall review the portfolio, including the evaluations by the AUCOPT and CAMCOPT, and send his or her evaluation with the portfolio to the Provost.

8. The Provost shall review the portfolios and shall consult with the Vice Provost for Academic Affairs. The Provost then shall make a recommendation based on the evaluations: (a) made by the AUCOPT, the CAMCOPT, the UCOPT, the head of the candidate’s academic unit, and the Dean (in the case of a candidate seeking promotion and/or tenure in a unit that is located in a college with departments); and (b) university needs, plans, and resources. The Provost also shall provide the President with the portfolios of all the candidates, along with all evaluations and committee votes.

9. No later than March 31 the Provost shall advise the candidate of the recommendation to be made to the President in order to allow time for further discussion of the recommendation and possible withdrawal of the application for promotion and/or the award of tenure. Upon written request from the candidate, the Provost shall advise the candidate in writing of the reason(s) for the recommendation.

10. The President shall make the final decision as to each candidate.

11. Should a candidate believe that an unfavorable decision has resulted from improper practices that occurred during the evaluation and/or review processes, he or she may appeal to the President for reconsideration or may submit a grievance complaint. In the latter case, a review shall be made according to the provisions of the document entitled Procedures for Addressing Faculty Academic Grievances (Appendix I). Such review shall be limited to issues concerning process. The substantive decision on the merits is not subject to review. However, if the faculty member’s complaint alleges
abridgement of academic freedom or a violation of IIT’s policy on equality of opportunity in employment, as stated elsewhere in this Faculty Handbook, the faculty member shall have a right to a formal investigation of his or her grievance in accordance with the provisions of Appendix I.

12. A candidate whose application for tenure or promotion is denied, or a candidate who withdraws after initiation of the process, may apply again in any subsequent year as long as he or she remains a member of the faculty at one of the ranks in which an individual is eligible for tenure consideration.

D. Contents of the Portfolio

1. The candidate shall supply a full curriculum vitae with relevant supporting documents, copies of principal publications, as described in Appendix D, and a personal statement of accomplishments, future plans, and aspirations.

2. The AUCOPT shall be responsible for assembling objective evaluations of the candidate by established professional peers outside of IIT, a formal evaluation of teaching in accordance with the procedures of the academic unit, other relevant material, and an up-to-date copy of the relevant standards established by that academic unit. These materials are to be placed in both copies of the portfolio, i.e., the copy considered by the AUCOPT and the copy considered by the academic unit head.

E. Calendar

1. The Provost shall submit a list of candidates to the President and to the relevant faculty committees by September 1.

2. Material needed by the AUCOPT and the head of the academic unit shall be submitted by October 1.

3. Material needed by the CAMCOPT shall be submitted by November 1.

4. The CAMCOPT shall transfer its portfolio with its evaluation to the UCOPT by December 1.

5. The UCOPT shall transmit the portfolio and its evaluation to the Provost and the President by February 15.

6. In the case of a college with departments, the head of the academic unit shall transmit the portfolio with evaluation to the dean by December 1.

7. The dean shall transmit his or her copy of the portfolio with his or her evaluation to the Provost by February 15.
IV. New Appointments with Tenure
An individual who is to be appointed to the faculty with immediate tenure shall be evaluated by the appropriate AUCOPT, CAMCOPT and UCOPT in the same manner as current faculty seeking promotion to tenure are evaluated. Even if the appointment should arise during the summer, all faculty committees must be convened to evaluate the candidate.

V. Probationary Appointments

A. Assistant Professors

1. The maximum period of employment in rank as a non-tenured assistant professor before the awarding of tenure is seven years. There are two options when appointing and reappointing assistant professors: 1) an initial probationary period of four years, with a possible renewal for three additional years; or, 2) an initial probationary period of three years, with a possible renewal for four additional years. Each academic unit shall publish its policy as to which option it follows. The policy must be uniform for all appointees at the rank of assistant professor within that unit.

2. In the case of an individual who seeks reappointment to a second probationary term as assistant professor, the academic unit shall review the candidate no later than the academic year preceding the last year of the current probationary term, unless an extension regarding such review is granted in accordance with Appendix R or the Faculty Family Policy. Notification of the decision resulting from the review shall be given to the candidate no later than the last day of the academic year in which the review is conducted. In pursuing the “renewal review” the academic unit shall apply the standards it has adopted for such review.

3. Assistant professors must be considered for tenure no later than their sixth year in that rank at IIT. An assistant professor in his or her sixth year may petition the academic unit head to defer consideration to the seventh year. However, if the request for deferral is granted and tenure is not awarded, the seventh year would be the terminal year and there would be no extension of the terminal contract. If an extension has been granted in accordance with Appendix R or the Faculty Family Policy, tenure consideration will be deferred for the period of the extension so granted.

B. Associate Professors
New associate professors hired without tenure shall be appointed for a four-year term and must be considered for tenure no later than their third year in that rank at IIT. An associate professor in his or her third year may petition the academic unit head to defer consideration to the fourth year. However, if the request for deferral is granted and tenure is not awarded, the fourth year would be the terminal year and there would be no extension of the terminal contract. If an extension has been granted in accordance with Appendix R or the Faculty Family Policy, tenure consideration will be deferred for the period of the extension so granted.
C. Procedures for Promotion to the Rank of Professor and New Appointments to that Rank
The procedures outlined above under “Procedures for Promotion to Tenure” apply also to
promotions and appointments to the rank of professor except that only professors may be
involved in the faculty committee deliberations (i.e., the AUCOPT, CAMCOPT and
UCOPT deliberations). If a committee should contain fewer than three full professors,
other full professors will be added from inside the university to bring the number to three
by the Provost in consultation with the academic unit faculty in the case of the AUCOPT
and with the University Faculty Council in the case of the UCOPT.

D. Early Consideration
If he or she so requests, a faculty member on a probationary appointment may be
considered for tenure at any time prior to the year designated for mandatory
consideration.

E. Leaves of Absence
Agreement among the appropriate parties as to whether time spent on a leave of absence
is to be considered as part of the probationary term must be reached before approval of a
leave of absence will be granted. Typically, time spent on a leave of absence by an
untenured assistant or associate professor is not counted as part of the probationary
term. (See Faculty Handbook, Section VIII.B.)

F. Extending the Probationary Period
(See Appendix R of this Faculty Handbook and the Faculty Family Policy for policies
relating to extension of the probationary period.)

VII. Archives
Archives containing documents describing the standards and procedures in use by the various review
committees described above shall be kept in the Office of the Provost and shall be made accessible for
inspection by members of the faculty.
Appendix D
Suggested Outline for the Preparation of Curriculum Vitae

Each curriculum vita should include information setting forth, with relevant dates, the candidate’s background and qualifications according to at least the following basic categories:

A. Demographic. Give name, title, campus office address and telephone extension number, home address, e-mail address, and telephone number.

B. Education. For graduate and undergraduate careers, give institutions; field(s) of concentration; degrees; titles of dissertation, theses, and honors papers; and honors, fellowships, and scholarships.

C. Professional history. Specify positions and ranks - begin with the present post and work back; institutions, and current tenure and promotion possibility status; for the last three positions, give a description of the nature of responsibilities, including a list of major accomplishments in those positions.

D. Contributions to teaching. List specific courses, special initiatives, and related curricular materials, pedagogical plans, and efforts to improve teaching campus-wide.

E. Academic concentrations and research interests. Specify by discipline and subfield.

F. Publications. Specify books, book chapters, articles invited and volunteered, reviews, compositions, exhibitions, performances, major invited and volunteered papers, popular works, works in progress, and major finished but unpublished reports.

G. Professional activities. Specify organizations, leadership posts, and other activities (including dates), such as public lectures, consultancies, and service to professional societies.

H. Contributions to administration and university service. Specify organizations and include service on campus-wide, departmental, college or school committees and governing bodies, including leadership posts, if any.

I. Professional honors, listings, awards, and research support. Specify titles and sponsors.

J. Membership in professional societies. Specify leadership posts, if any.

K. Civic and community activities. Specify leadership posts, if any.
Appendix E
Procedures for the Search for, and the Review
of Academic Deans

I. Preamble

Because of the vital importance of the office of dean in shaping and implementing policies of the university, the faculty and the administration should play a joint role in various phases of the search for and review of deans. This document describes this role and defines the procedures for the search for and the review of academic deans.

The purpose of a review is to provide a systematic and constructive procedure to determine whether the continued service of an incumbent dean or director is in the best interests of his or her college, school, or institute and of the university. The purpose of a search is to identify the most suitable candidates to lead a college or school when the deanship or directorship becomes vacant.

II. Procedure for Dean Review

A dean shall be appointed for an initial term of six years. Each renewal term will be for one three-year period, with a second three-year period following a positive review by the Provost. Each such six-year period shall be subject to the following review process:

A. At the beginning of the fall semester preceding the last year of the term of an academic dean, the incumbent should inform the Provost concerning his or her wishes for continuation in the post after the expiration of that term. Upon negative indication, the procedures of Section III shall be initiated. Upon positive indication, the Provost shall appoint a review committee in accordance with Section VI.

B. The review committee shall meet with the incumbent, the Provost, the President, and other members of the administration to secure such information as it may need to assess the nature of the incumbent’s duties and any special conditions placed upon the office of the dean or director at the time of appointment.

C. Opinions shall be solicited by the review committee from the academic unit heads and other members of the dean’s constituency; from student representatives, staff, and other sectors of the university; and from independent outside sources if such inquiry is deemed useful.

D. The review committee shall weigh the information so obtained and submit a written report including a recommendation to the Provost on the renewal or the replacement of the dean or director. The report shall state the reasons for non-renewal, if such is recommended. In the case of renewal, it may also include constructive suggestions for possible improvements. The report also shall be transmitted to the dean.

E. The Provost shall respond promptly to the review committee concerning the recommendation made. If the Provost disagrees with the recommendation of the review committee, the reason(s) for disagreement shall be communicated to the committee. The University Faculty Council also shall be informed in such an event. The final decision by the Provost then shall be communicated to the dean.
F. In the event of non-renewal, the search procedures set forth in Section III shall be initiated. If the selection of a successor has not been made by the end of the incumbent’s term, the Provost may grant a temporary extension of the term (at most for one year) or appoint an acting dean until the position is filled. The review committee may be reappointed by the Provost to serve as the new search committee.

III. Procedure for Search

A. When a dean vacancy occurs or is imminent, the Provost shall so inform the University Faculty Council. In order to ensure the orderly functioning of the affected college or school, the Provost may either appoint an acting dean or convene an ad hoc committee to assess the existing circumstances of the college or school, and, if necessary, to recommend an interim dean. (In the case of a college with departments, the ad hoc committee shall consist of the academic unit heads within the college. In the case of a college or school that is an academic unit, the committee shall consist of the tenured faculty members of the college or school. For the purpose of selecting a permanent dean, the Provost shall appoint a search committee according to the rules of Section VI. The formation of a search committee shall be completed within two months after the Provost has been informed of a vacancy, whether or not an acting or interim dean has been, or will be, appointed.

B. The search committee shall review the conditions and needs of the college or school according to the guidelines described in subsections II.B. and II.C., and shall consider recommendations from the ad hoc review committee, if one was formed pursuant to Section II. The search committee shall also appraise the availability of candidates from within the university.

C. Based on its foregoing review and appraisal, and after consulting with the Provost, the search committee shall make a formal recommendation as to the desirability and feasibility of an internal search versus a full search as well as to a practical timetable for the search in view of the specific circumstances. The Provost shall respond promptly to the recommendations of the search committee and specify its charge for the search. In case the intended charge should differ from the committee’s recommendations, the Provost shall explain the reasons for disagreement to the committee. The University Faculty Council also shall be informed in such an event.

D. Upon initiating the search phase of the plan, the search committee shall seek nominations and applications for the vacant position, with all information on possible candidates being submitted to the chair of the committee. In the case of an internal search, there shall be a general announcement within the university that such an opening exists, along with an invitation to submit nominations and applications. In the case of a full search, there shall be nationwide advertisement of the vacancy soliciting qualified candidates, in addition to the above. Candidates from within the university are eligible for consideration in a full search.

E. The search committee shall endeavor to contact all candidates who, after initial screening, appear to be qualified for the position. To be qualified, a candidate not currently holding tenure at IIT must be of such professional stature that a subsequent positive recommendation for the award of tenure by the University Committee on Promotion and Tenure is highly likely. Upon confirming the interest on the part of the candidates, the committee shall, in consultation with the Provost, invite the most promising individuals for campus visits.

F. Each candidate interviewed by the committee shall also meet, whenever possible, with the President, the Provost, the chairs of the departments, and other members of the prospective future constituency of the
candidate and, whenever appropriate, other vice presidents, academic deans, vice provosts, as well as other individuals of the candidate’s choice.

G. After interviewing the appropriate candidates and consulting with the department chairs of the dean’s constituency, the search committee shall prepare a list of at least three individuals (or fewer with the concurrence of the Provost) who are acceptable to the search committee. A nominee not currently holding tenure at IIT also shall be considered for the award of tenure by the University Committee on Promotion and Tenure, whose recommendation shall be referred to the Provost.

H. The Provost shall forward the search committee’s recommendation to the President, along with his or her own recommendation. The President may offer the position to one of the individuals recommended by the search committee and the Provost provided the University Committee on Promotion and Tenure recommends awarding tenure upon the candidate’s acceptance. In case the position cannot be filled with one of the nominees, additional nominees may be requested from the search committee, or the search may be reopened.

I. If the initial search is internal and no acceptable nominee is found or none of the nominees accepts the offer, the Provost shall instruct the search committee to initiate a full search.

IV. Procedure for the Replacement of Academic Deans

A. Upon written petition to the Provost signed by two-thirds of the faculty of a dean’s constituency, the Provost shall appoint a review committee according to the rules of Section VI, below. The review committee shall follow the procedures set forth in Section II, above, and report its recommendation to the Provost. In the event that retention is thus recommended, this procedure may be substituted for the normal periodic review established by Section II, provided such review is initiated within one year of the time when normal periodic review should occur.

B. The Provost may relieve a dean from all duties pertaining to his or her administrative position at any time during the term of office. The procedures set forth in Section III, above, then shall be initiated.

V. Constituencies

The constituency of the dean consists of all full-time faculty of the respective college or school.

VI. The Review and the Search Committees

A. The same rules, stipulated below, apply to both review and search committees. These committees are appointed by the Provost in consultation with the University Faculty Council. They represent the constituency of the dean and the university at large working with the administration in reviewing and conducting searches for academic deans. The committees report to the Provost. They may also consult the University Faculty Council on matters of concern.

1. Each committee, except as noted, shall consist of no fewer than seven voting members constituted as follows:

   a. There shall be no fewer than five faculty members, four of whom shall be from the constituency of the dean. Three or more appointments shall be made from a list of no fewer than six nominees prepared by the University Faculty Council in consultation with member groups of the
dean’s constituency. Committee members shall be chosen, insofar as possible, to represent evenly the member groups of the dean’s constituency and to approximate the ratio of two tenured to one non-tenured faculty member;

b. One person selected by the Provost from the ranks of deans, chairs, or other administrative academic personnel of the university;

c. In the case of a college with departments, one department chair from the college nominated by the chairs of that college. In other cases, one academic unit head nominated by the academic unit heads;

d. A student nominated by the Provost in consultation with the appropriate constituencies as a non-voting member; and

e. A representative of the general counsel’s office, as a non-voting member, for consultation on equal opportunity and affirmative action issues, and such other consultants, as nonvoting members, up to a maximum of three, as the Provost may choose. Voting rights will be granted to one consultant if she/he is also a member of the Board of Trustees.

2. The chair of the committee shall be selected by the committee through election from those among its members who are tenured faculty members and shall be appointed by the Provost. Internal processes and procedures of the committee shall be conducted in an objective and even-handed manner to ensure the attainment of the goals of the review or search, as stated in the Preamble.

3. Any replacement of a committee member as the result of resignation or inability to serve shall be appointed by the Provost from the same category as that of the member being replaced.

VII. Equal Opportunity

In all instances, university procedures for assuring equal opportunity in employment shall be observed.
Appendix F
Procedures for Selection, Retention, and Replacement of Department Chairs

I. General Overview and Definitions

In view of the joint faculty-administration role of department chairs, university interests dictate that the departmental faculty as well as the university administration participate in decisions relating to their selection and retention. A department cannot be fully effective unless the chair enjoys the support, both initially and on a continuing basis, of the permanent members of the departmental faculty, as well as the university administration.

Accordingly, four procedures are described below: (Section II) Selection of Chair; (Section III) Periodic Review of Chair; (Section IV) Replacement of Chair; and (Section V) Replacement of Retiring Chair. These procedures refer only to academic units of the university that are departments and not to schools, institutes, colleges, or other university units.

The term departmental committee refers to all tenured department members and all members with the rank of assistant professor or higher of a department (including the chair, if one exists). To foster independent administrative and faculty review in the selection, retention, and replacement of department chairs, academic deans who are not academic unit heads, the Provost, and the President are not eligible for membership on a departmental committee and shall not participate in its deliberations. The term modified committee denotes the departmental committee exclusive of the chair.

None of the procedures described below are intended in any way to limit the right of the individual faculty member to confer with members of the administration.

II. Procedures for Selection of a Chair

A. When a vacancy in a departmental chairship exists or is imminent, the appropriate dean shall form a search committee for the purpose of identifying and screening suitable candidates for recommendation to the administration. The search committee may appoint subcommittees to perform specific tasks and report back to it. It should confer from time to time with administrative officers and with the departmental faculty. Funds to cover the cost of a search should be provided by IIT outside the regular departmental budget. The search committee shall be composed as follows:

1. three members (four from departments with 10 or more faculty members) elected by the modified committee;

2. a faculty member, usually an academic unit head external to the department, who will serve as chair of the search committee;

3. a member external to the college or school, either from IIT or from the profession, external to IIT; and
4. the members described in Subsection II.A.2. and Subsection II.A.3. are appointed by the college dean, in consultation with the departmental faculty, subject to veto by a vote of two-thirds or more of the modified committee.

B. Candidates recommended to the administration must have the approval of two-thirds of the members of the departmental committee that have voted “yes” or “no”. The non-tenured track full-time members must be invited to participate in the meeting at which this vote is taken and may be invited to participate in other deliberations. The faculty-elected members of the search committee, as described in Subsection II.A.1., will have the responsibility of keeping the departmental faculty informed of the search committee’s decisions. At least two candidates will be recommended to the administration.

C. The candidate will be offered the chairship when the college dean and the Provost concur with the recommendation of the search committee and the departmental committee.

D. Any search not concluded within 12 months of the formation of the search committee will be deemed a failed search and terminated as of such date.

III. Procedures for Periodic Review of Chair

A. A chair is appointed to that post for a period of one year at a time; five such appointments in sequence constitute a term. A chair, upon initial appointment for any term, may expect to serve for a full term, unless a shorter period is explicitly specified at the time of such initial appointment; however, he or she may be relieved by the appropriate dean or in accordance with Section IV below. Renewal for subsequent terms shall occur in accordance with the procedures below.

B. At the beginning of the second semester of the year prior to the last year of the chair’s term, the chair shall indicate to the appropriate dean whether or not he or she wishes to continue in the post after expiration of the term. Upon negative indication, the procedures of Section II shall be initiated. Upon positive indication, the dean shall convene the modified committee.

C. The modified committee’s first step shall be to meet with the chair to secure such information as he or she wishes to present.

D. Thereafter, the modified committee, through as many meetings as are needed and with such consultation with other members of the department, students, and the chair as it deems necessary, shall arrive at its decision. Such decision shall be deemed favorable to renewal when more than one-half of the membership votes for retention. In the event that the decision is against retention, another meeting with the chair must be held to discuss the matter; thereafter the modified committee shall vote again.

F. The outcome of the final vote shall be reported to the chair and the dean; such report must be made prior to the close of the semester and, if negative, it must include an indication of the reasons for the action.

G. The dean shall act promptly in concurring with or rejecting the departmental recommendation, except that it is expected that the administration will not reject a three-fifths or greater vote against retention by the modified committee. The chair shall then be informed by the dean concerning renewal or non-renewal of his or her term. In the event of non-renewal, the procedures of Section II shall be initiated, although the chair may serve until the end of his or her term. If the selection of a successor has not been effected by that time, the modified committee has the option of requesting the dean to extend the chair’s...
term temporarily or to request the appointment of an acting chair (acceptable to the departmental committee by majority vote) for the duration of the selection process.

IV. Procedures for Replacement of a Chair

A. Upon a written petition to the dean signed by two-thirds of the members of the modified committee and requesting replacement of a chair, the dean shall convene a meeting of the committee together with the chair to discuss the petition and the reasons for it. At the close of this meeting or an adjournment thereof, the modified committee shall meet again (without the dean) to vote on the issue. A vote of one-half or more of the modified committee in support of the chair shall terminate the proceeding. Otherwise, the dean shall make arrangements to relieve the chair of his or her duties as chair and to initiate the procedures of Section II. Should the dean reject the departmental recommendation, the reasons for such rejection shall be provided, except that it is expected that the dean will not reject a three-fifths or greater vote against retention by the modified committee.

B. The dean may relieve a chair of his or her duties as chair at any time during the term, after discussion with the chair and after informing the modified committee of this contemplated action and providing reasons therefore. The procedures of Section II then shall be initiated.

V. Procedure for the Replacement of a Resigning Chair

In the event of the impending resignation of a chair, the procedures of Section II shall be initiated a sufficient time in advance of the date of resignation to ensure a smooth transition for the change in departmental leadership.

VI. Procedures When a Search Is Unsuccessful

In the event two consecutive searches undertaken pursuant to Section II fail to result in the appointment of a chair, the results of both such searches shall be forwarded to the Chair of the UFC, and the UFC shall thereafter review and resolve the search as the UFC deems appropriate given the particular circumstances of the search.
Appendix G
Procedures for the Search for Provost

The Office of the Provost is the key academic leadership position in the university. In order to secure the best possible person the Faculty must play an active role throughout the search process. This document describes that role and defines the procedures for the search. The search committee is expected to conduct a comprehensive search to identify the best candidates for the position.

I. Search Committee

A search committee shall be appointed by the President in consultation with the University Faculty Council (UFC). Members will be selected from the university at large. The committee shall report to the President.

A. The committee shall consist of no fewer than nine voting members and three or more non-voting members chosen as follows:

1. There shall be no fewer than seven faculty members appointed to serve on the committee. Five or more appointments shall be made from a list of no fewer than nine faculty members prepared by the UFC. Committee members shall be chosen, insofar as possible, to represent evenly the academic units and to approximate the ratio of three tenured to one non-tenured faculty member. The faculty members shall be voting members of the committee.

2. One person shall be selected by the President from the ranks of deans, chairs, or other administrative personnel of the university, and shall be a voting member of the committee.

3. One academic unit head shall be selected by the academic unit heads, and shall be a voting member of the committee.

4. Two students, as non-voting members, shall be appointed by the President from a list of no fewer than four students nominated by the UFC.

5. The committee shall include, as a non-voting member, a representative of the General Counsel’s office, for consultation on equal opportunity and affirmative action issues. The committee also may include, as non-voting members, such other consultants as the President may choose, and representatives of the Board of Trustees. Voting rights will be granted to one consultant if she/he is also a member of the Board of Trustees.

B. The chair of the committee shall be nominated by the committee through election from those among its members who are tenured faculty members and shall be appointed by the President. Any replacement of a committee member as the result of resignation or inability to serve shall be appointed by the President from the same category as that of the member being replaced.

II. Search Committee Procedures

A. The search committee shall seek nominations and applications for the position of Provost from throughout the world. The committee shall use all reasonable means to obtain nominations from the international academic community.
B. The search committee shall endeavor to contact all candidates who, after initial screening, appear to be qualified for the position. To be qualified, a candidate not currently holding tenure at the university must be of such professional stature that a subsequent positive recommendation for the award of tenure by the University Committee on Promotion and Tenure is highly likely. Upon confirming the interest on the part of the candidates, the committee shall, in consultation with the President, invite the most promising individuals for on-site interviews.

C. Following meetings with the committee and the President, the candidate(s) deemed to be promising by the committee and the President shall be invited to meet with deans, other academic unit heads, the UFC, and, if possible, other members of the prospective future constituency of the candidate(s).

D. After interviewing the candidates and obtaining feedback from appropriate constituencies, the search committee shall prepare a list of at least three individuals (or fewer with the concurrence of the President) who are acceptable to the search committee. Once the list is prepared, a nominee who does not currently hold tenure at the university shall be considered for the award of tenure by the University Committee on Promotion and Tenure, and that committee’s recommendation shall be transmitted to the President.

E. Prior to the appointment of an individual as Provost, it is assumed the candidate will give a presentation to the faculty, as well as meet with the UFC and other groups of faculty.

F. The President may offer the position to one of the individuals recommended by the search committee, provided the University Committee on Promotion and Tenure recommends awarding tenure upon the candidate’s acceptance. In case the President does not, or cannot fill the position with one of the nominees, additional nominees may be requested from the search committee.
Appendix H
IIT Policy on Joint Faculty Appointments

I. Justifications for Joint Appointment

The appointment of an IIT faculty member to two academic units may be approved under appropriate circumstances. Each appointment will be evaluated independently by the relevant academic unit. Circumstances that may justify a joint appointment include:

- a faculty member has an established scholarly field recognized as inherently interdisciplinary; and/or
- a faculty member has training and experience in two or more disciplines.

II. Conditions of Joint Appointment

When circumstances such as those set forth in Section I are relevant, the principal criterion upon which a joint appointment shall be evaluated is whether the joint appointment would lead to significant advantages to the IIT community, to both IIT academic units involved, and to the continued professional development of the faculty member. If a preliminary evaluation by the relevant academic unit heads indicates that a joint appointment to their respective units may be appropriate, the following conditions must be met:

A. A tenured faculty member can hold tenure or be on tenure track in only one academic unit, which unit shall be designated as his or her “primary academic unit.”

B. Joint appointments can be recommended only for new or current faculty members at the rank of associate professor or professor.

C. The consideration of a joint appointment for a new faculty member requires full evaluation by the faculty members, the chairs, and the dean(s) of both academic units, following the same procedures as are currently employed for the appointment of new faculty members in each unit.

D. The initiation of an appointment to another academic unit for a current IIT faculty member will be made only if the faculty member holds the rank of associate professor or professor in his or her original academic unit. The request for a joint appointment must be made in writing by the faculty member with appropriate documentary support. This request will be evaluated in sequence by the chair of the current academic unit, the tenured faculty members of the new academic unit, the chair of the new unit, and the college or school dean(s). Their written recommendations will be forwarded to the Provost. If approved, the faculty member will be listed with both units in the IIT undergraduate and graduate bulletins and other official publications of IIT.

E. The assignment of teaching and service responsibilities, salary recommendations, and other administrative functions relevant to the faculty member will be made by the chair of the primary unit, following the usual procedures for other faculty members in that unit. The actual division of such responsibilities must be approved by the college or school dean at the start of each academic year.
F. The faculty member holding a joint appointment shall retain the full rights, including voting, of faculty members in the primary academic unit and those of tenured faculty members of his or her rank, including service on the Academic Unit Committee on Promotion and Tenure (AUCOPT).

G. The faculty member shall serve as an ex-officio, non-voting member of the AUCOPT of the second unit if he or she is tenured, and as a full voting member of all other committees of the second unit to which he or she has been appointed. The faculty member may act as a faculty adviser and a thesis adviser in both units, in accordance with the current policies in each. The unit designation on the faculty member’s research proposals and publications may be to either or both academic units, as determined solely by the faculty member.

H. This policy allows for the joint appointment of non-tenured associate professors and professors in the case of the initial IIT appointment. The procedures for the award of tenure will follow the normal IIT policy, in which case the appropriate AUCOPT will be that of the primary academic unit. The evaluation of promotion from associate professor to professor will follow the normal IIT policy based on the criteria of the primary unit.

I. A joint appointment is made on an annual basis.

J. Appointment in the secondary department may be terminated after consultation with the tenured faculty members of that department.
Appendix I
Procedures for Addressing Faculty Academic Grievances

I. General Philosophy Regarding Grievances

Illinois Institute of Technology is committed to the proposition that academic grievances of faculty are deserving of response and appropriate resolution.

II. Scope of this Appendix

A. Academic Grievances Defined

This Appendix is directed only to academic grievances, subject to the exceptions set forth in subsection II.B. below. An academic grievance is one that involves a decision made by, or an action taken by, an academic officer or unit of the university that in some way entails a matter of academic concern. Thus, for example, a matter concerning academic freedom is covered by this Appendix. Likewise, an award or benefit based in whole or part on a faculty member’s academic performance, such as eligibility for a university title, a monetary benefit keyed to performance as an academic, or a determination of eligibility for a leave, falls within the scope of this Appendix.1 By way of contrasting example, a grievance about the correct allocation of university contributions to a faculty member’s benefit accounts, or comparable administrative issues, do not constitute academic grievances and thus do not fall within the scope of this Appendix.

B. Academic Grievances Governed by Other Provisions of this Handbook and its Appendices

Grievances concerning salary are addressed in the main text of this Faculty Handbook at Section IX.B., entitled "Appeals for Adjustment in Salary." Grievances concerning termination and suspension are addressed in Appendix J. Grievances concerning scientific misconduct are addressed in Appendix L. While decisions on the merits relating to tenure and promotion cannot be the subjects of grievances, allegations that unfavorable decisions resulted from improper practices can be the subject of grievances pursuant to this Appendix.

C. Right to Pursue a Grievance

Any member of the faculty who believes that he or she has just cause to grieve an academic decision or action affecting him or her may do so pursuant to this Appendix, provided the decision or action being grieved falls within the scope of this Appendix. Faculty members shall have the right to present grievances without prejudice.

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1 By necessity, no definition can be precise enough so as to delineate all circumstances that will be covered and all that will not; thus, the foregoing examples are just that - examples, and are not intended to constitute an exclusive listing of academic matters falling within the scope of this Appendix.
D. Substitution by Another Officer Where Provost is Implicated in a Grievance

If the Provost is material to a grievance by virtue of being the party against whom the grievance is being pursued, or by virtue of his or her being a witness or potential witness in the matter, or for any other reason, the President shall appoint a senior academic administrator to serve in the Provost’s stead and to take all the actions and make all the decisions that otherwise would be taken and made by the Provost pursuant to the following sections of this Appendix.

III. Initial Pursuit and Resolution of Grievances

A. Distinguishing Between Academic Unit Grievances and Non-Academic Unit Grievances

There are two ways in which grievances may proceed through the grievance process. In the first instance, a grievance arises that is within the purview of the academic unit head, in the sense that that individual has line authority to address and hopefully resolve the action or decision that has given rise to the grievance. In the second instance, an academic unit head does not have any authority with regard to the decision or action that has given rise to the grievance, and so the grievance is commenced with the Provost.

B. Grievances Within Purview of Academic Unit Head

1. Process When Academic Unit Head is Material to the Grievance

A faculty member who has a grievance that is within the scope of this Appendix and within the purview of her or his academic unit head first shall consult that academic unit head for the purpose of resolving the grievance, if possible. However, if the academic unit head is material to the grievance because he or she is the party whose decision or action gave rise to the grievance or for other reason, the faculty member shall pursue his or her grievance in the first instance with the Provost, in accordance with Section III.C. below.

2. Informal Resolution of Grievance

In the event of a grievance that is within the academic unit head’s purview and to which the academic unit head is not material, the academic unit head shall attempt to achieve an informal resolution of the matter. However, if the academic unit head determines that the grievance is one that is properly within the purview of the Provost and thus is not appropriate for resolution by him or her, the grievance shall be referred by the academic unit head to the Provost. In such instance, the grievant shall proceed in accordance with Section III.C.

3. Pursuing Formal Resolution When Informal Resolution Effort Fails

If an informal resolution acceptable to the faculty member is not achieved by the academic unit head within 30 days of the faculty member’s initial consultation pursuant to Section III.B.1. with the academic unit head, and the faculty member wishes to pursue the matter, he or she shall file a written statement with the academic unit head no later than 180 days after the occurrence of the decision or action giving rise to the grievance. This statement shall describe in detail the nature of the grievance and shall identify the person, organizational unit, university practice, or regulation as to which the grievance has been lodged. The statement shall include a recitation of such facts and circumstances as the faculty member deems relevant.
4. Decision by Academic Unit Head

Within 30 days of the receipt of a written statement of a grievance that falls within the academic unit head’s purview, the academic unit head shall render a decision as to the grievance. (However, if the academic unit head at this point determines that the grievance properly is within the purview of the Provost and thus is not appropriate for resolution by him or her, the academic unit shall refer the grievance to the Provost.) The decision by the academic unit head may be based on a determination that some procedural requirement (e.g., a filing deadline) has not been satisfied, or it may be on the merits. No formal procedures are required as to this decision, other than the academic unit head’s informing the parties in writing, with the reason(s) set forth, of the decision. (The failure of the academic unit head to respond in writing within 30 days of his or her receipt of the grievance shall be deemed to constitute a constructive adverse decision.)

C. Grievances Within Purview of the Provost (“Direct Grievances”)

In the case of a grievance not within the academic unit head’s purview, a grievance in which the academic unit head is a material party, as addressed in Subsection III.B.1., and/or a grievance that has been referred to the Provost by the academic unit head, pursuant to subsections III.B.2. or III.B.4., the grievant shall file a written statement of the grievance with the Provost no later than 180 days after the occurrence of the decision or action giving rise to the grievance. (In the case of a grievance that is referred to the Provost by the academic unit head pursuant to subsection III.B.4., the written statement filed with the academic unit head shall be deemed to satisfy the filing requirement set forth in this subsection.) The statement shall describe in detail the nature of the grievance and shall identify the person, organizational unit, university practice, or regulation as to which the grievance has been lodged. The statement shall include a recitation of such facts and circumstances as the faculty member deems relevant.

The Provost shall determine within 10 days of the filing of the grievance whether it falls within his or her purview. If he or she determines that it properly is within the purview of the academic unit head, he or she shall refer the grievance to that individual. (In this instance, the written statement filed with the Provost shall be deemed to be the written statement required to be filed with the academic unit head pursuant to subsection III.B.4.)

1. Summary Disposition by the Provost

If the Provost unequivocally can determine, without pursuing any formal procedures, that some procedural requirement imposed on the grievant (e.g., a filing deadline) has not been satisfied, the grievance process shall terminate, with notice of such determination and the reason(s) for it, being sent to the parties and the Chair of the University Faculty Council Committee on Academic Freedom and Tenure (CAFT). Alternatively, if the Provost unequivocally can determine, without pursuing any formal procedures, that the grievance should be sustained or denied on the merits, he or she shall so rule, with notice and the reason(s) for the ruling being sent to the parties and the Chair of the CAFT. Such summary dispositions shall be rendered within 45 days of the receipt of the grievance.

2. Referral for Investigation

If the Provost is unable to summarily dispose of the grievance, he or she shall refer the grievance for either informal or formal investigation, pursuant to subsections V or VI, subject to the following
limits. If the grievance is one as to which the grievant has a right to a formal hearing, as he or she does regarding grievances alleging abridgements of academic freedom (see subsection IV.A., in the main text of the Faculty Handbook) and grievances alleging violations of IIT’s stated policy on equality of opportunity in employment (see subsection IV.B. in the main text of the Faculty Handbook), the Provost shall refer the matter for formal investigation in accordance with Section VI below, without prior referral for informal investigation, unless the grievant is amenable to first participating in an informal investigation. Such referral shall be made within 45 days of receipt of the grievance.

IV. Appeal by Grievant of a Ruling by Either the Academic Unit Head or the Provost

A. Appeal of Academic Unit Head Ruling

No later than 60 days after a grievant has received an actual or constructive adverse decision from his or her academic unit head in accordance with subsection III.B.4., the grievant may appeal that decision by filing a written statement with the Provost setting forth the bases for the appeal and including the written statement of the grievance filed with the academic unit head, the academic unit head’s decision, and such other documentation as the grievant deems relevant.

B. The Provost’s Response to the Appeal of an Academic Unit Ruling

1. Summary Disposition

If the Provost unequivocally can determine, without pursuing any formal procedures, that some procedural requirement imposed on the grievant (e.g., a filing deadline) has not been satisfied, the grievance process shall terminate, with notice of such determination and the reason(s) for it being sent to the parties and the Chair of the University Faculty Council Committee on Academic Freedom and Tenure (CAFT). Alternatively, if the Provost unequivocally can determine, without pursuing any formal procedures, that on the merits the grievance should be sustained, he or she shall so rule, with notice of such determination and the reason(s) for it being sent to the parties and the Chair of the University Faculty Council Committee on Academic Freedom and Tenure (CAFT). Such summary dispositions shall be rendered within 45 days of receipt by the Provost of the appeal.

2. Referral for Informal or Formal Investigation

If the Provost is unable to dispose of the appeal summarily, he or she may (but need not) refer the appeal to the University Faculty Council’s Committee on Academic Freedom and Tenure (CAFT) for an informal investigation, as described below in Section V. If the Provost chooses to forego an informal investigation referral, the matter shall be referred by the Provost for consideration pursuant to the procedures for formal investigation, set forth below in Section VI. In any event, in instances where the right to a formal hearing exists, as it does regarding grievances alleging abridgements of academic freedom (see subsection IV.A., of the body of the Faculty Handbook) and grievances alleging violations of IIT’s stated policy on equality of opportunity in employment (see subsection IV.B. of the body of the Faculty Handbook), the Provost shall refer the matter for formal investigation in accordance with Section VI below, without prior referral for informal investigation, unless the grievant is amenable to first participating in an informal investigation. Such referral shall be made within 45 days of receipt by the Provost of the appeal.
C. Appeal of Summary Disposition by the Provost in a Direct Grievance

A grievant may appeal a summary disposition made by the Provost regarding a grievance that in the first instance was decided by the Provost pursuant to Section III.C.1., above, by filing an appeal with the President within 30 days of the grievant’s receipt of notice of the Provost’s decision. The President shall render a final decision in the matter within six weeks after the appeal has been submitted. The President shall notify the parties and the Provost in writing of the decision, with the reason(s) for the decision set forth in that notification.

V. Informal Investigation of Grievance

A. Investigation by Committee on Academic Freedom and Tenure

Upon receipt of a written referral from the Provost pursuant to subsections III.C.2. or IV.B.2., the University Faculty Council’s Committee on Academic Freedom and Tenure (CAFT) shall undertake an informal investigation by making inquiry into the facts pertaining to the grievance referred to it. The CAFT shall receive any statements from the parties concerned that they may wish to submit.

B. Committee Report and Recommendation(s)

During the committee’s proceedings, or as a result of them, the committee may conclude that it can recommend a possible resolution acceptable to the parties concerned, although the committee is not empowered to make any agreement that is in any way binding upon the university. In any event, within 60 days after the grievance has been referred to it, the CAFT shall submit to the Provost a written report setting forth the committee’s findings and including one of the following recommendations:

-- that no further action should be taken;
-- that the Provost should attempt to bring the parties together for the purpose of seeking a mediated resolution; or
-- that the grievance should be referred for a formal investigation, as described below.

C. The Provost’s Response to the CAFT’s Recommendation

Within 30 days of the receipt of a recommendation from the CAFT the Provost shall make a decision concerning further disposition.

1. Decision to Proceed No Further

If the Provost decides not to proceed further with the grievance, he or she shall so inform the parties and the CAFT.

2. Decision to Bring the Parties Together to Seek a Mediated Resolution

If the Provost decides that a mediated resolution of the grievance by means of bringing the parties together should be attempted, he or she shall so inform the parties and the CAFT. Such effort shall ensue, provided the parties are amenable to such an effort, but in any event such effort shall not last longer than 60 days, unless the parties consent to an extension of time. At any time during the course of such mediation the mediator may conclude that the effort is futile and terminate the effort. Upon termination of this effort, the Provost shall refer the matter for formal investigation in accordance
3. Referral or Non-referral for Formal Investigation

If, either in accordance with the recommendation of the CAFT or on his or her own determination, the Provost refers the grievance for a formal investigation, the Provost shall request the Chair of the University Faculty Council to take the steps necessary to constitute a grievance hearing committee so that the grievance may be heard pursuant to the procedures described below. The Provost shall inform the parties and the CAFT of the referral.

If, notwithstanding the CAFT’s recommendation that a grievance be referred for a formal investigation, the Provost in his or her discretion determines not to make such referral, he or she shall so inform the parties and the CAFT. In those instances where the grievant does not have a right to a formal investigation, a right noted above in subsection IV.B.2., the grievant can seek such investigation by appealing the Provost’s decision to refuse to refer the matter for formal investigation. The grievant shall do so by filing a written statement with the President within seven days of receipt of the Provost’s decision, not counting the day of receipt. The President shall reach a final decision in the matter within six weeks after the appeal has been submitted. The President shall notify the parties, the Provost, and the CAFT of that decision in writing, with the reason(s) for the decision stated in such notification.

4. Mandatory Referral for Formal Investigation

Whether or not the CAFT recommends, after an informal investigation, that a matter should be referred for formal investigation, and even if, after an informal investigation, the Provost does not wish to refer a matter for formal investigation, such matter shall be referred for formal investigation in those instances where the grievant has a right to a hearing, as noted in subsection IV.B.2., and the grievant requests such formal investigation. If the Provost does not refer such grievance within 30 days of his or her receipt of a request to do so made by the grievant, the grievance shall be filed by the grievant with the Chair of the University Faculty Council. The Chair then shall take the steps necessary to constitute a grievance hearing committee so that the grievance may be heard under the procedures described below. The Chair shall notify the Provost that such action has been taken.

VI. Formal Investigation of Grievances

A. Identification of Grievance Hearing Committee Faculty Members

All faculty members holding ranks defined in this Faculty Handbook as Category I and Category II ranks shall be members of the pool of potential members of grievance hearing committees (GHC). The officers of the University Faculty Council (UFC) shall order by lot potential GHC members from the general pool of eligible faculty. The Chair, or his or her designee, shall contact pool members in the order selected. Each such potential GHC member who is contacted shall be told the identities of the parties involved in the grievance and shall be informed of the general nature of the grievance. Each potential GHC member so contacted shall be afforded an opportunity to request excusal from service on the committee. If the Chair, or his or her designee, assents, the faculty member shall be excused. If the Chair, or his or her designee, does not assent, the faculty member shall not be excused. However, the faculty member’s request to be excused shall be disclosed to the parties at the meeting held in accordance with the
following paragraph (i.e., Section VI.C.). The Chair, or his or her designee, shall continue the selection process until 12 potential GHC members have been identified.

B. Selection of Grievance Hearing Committee Faculty Members

The Chair of the UFC, or his or her designee, shall call and preside over a meeting of the parties and their advocates, if any, to select from the 12 previously selected potential GHC members the five who will actually serve. Each of the 12 individuals shall be called separately, in random order, to appear before the parties and their advocates. Each individual may be questioned to determine bias, partiality, and knowledge regarding the grievance. The Chair, or his or her designee, may rule questions out of order if such questions are deemed irrelevant to the foregoing issues of bias, partiality, and knowledge. Each party shall be permitted three peremptory challenges; a challenged individual shall be required to withdraw. Once five acceptable faculty members are selected, the process shall end. However, no more than two faculty members selected for the GHC shall hold their primary appointments in the same college, school, or institute and at least three shall be tenured.

C. Selection of Administration Members of the Hearing Committee

The Provost shall appoint to the GHC two members of administrative rank, neither of whom has been named in the grievance. One administrative member shall be a person employed in the college or school, in which the grievant holds his or her primary appointment. The other administrative member shall be employed in a college, school, or institute other than the one in which the grievant holds his or her primary appointment. In the event no administrator from the college, school, or institute in which the grievant holds his or her primary appointment is available, an administrator from another college, school, or institute shall be appointed. The grievant shall have a right to exercise one peremptory challenge as to these administrative appointees. If such a challenge is made the Provost shall appoint another administrative member in accordance with the foregoing guidelines.

D. Chair of the Committee

The GHC shall nominate a chair from among its membership. Upon receipt of the nomination the Provost either shall appoint the person nominated or shall request the committee to submit a new nominee. He or she shall state in writing the reason(s) for such request.

E. The Hearing

1. Representation

Each party may be represented by an advocate (or advocates). The advocate may be an attorney and may be a member of the faculty or of the administration of the university. A representative of the university must be (and an advocate for the grievant may be) present at all meetings in which the grievant appears and testifies.
2. Pre-Hearing Matters

   a. Establishing Procedural Ground Rules

      The Chair of the GHC shall convene a meeting of the committee for the purpose of establishing procedures to be followed at the hearing. The parties shall have an opportunity to appear at this meeting and to address any issues concerning procedures.

   b. Scheduling the Hearing

      In consultation with the parties the GHC Chair shall establish a date and time for the grievance to be heard.

   c. Submission of Pre-Hearing Statements

      The GHC may request the submission of written statements by the parties prior to the hearing.

3. Conduct of the Hearing

   At the hearing each party or his or her advocate shall be afforded an opportunity to make an opening statement as to the facts and circumstances surrounding the grievance. Each party, as well as the committee itself, may present documents and call individuals to give testimony to the committee. Each party may question witnesses. However, at its sole discretion the committee may require that questioning be done through the chair of the committee. Committee members may question participants directly.

   After the hearing the GHC shall review the testimony and the evidence presented to it and shall arrive at a conclusion, based on its best understanding of the facts and based on a preponderance of the evidence standard. The committee shall submit a written report to the Provost within 30 days of the close of the hearing, with a copy of such report being sent to each parties. The report shall include the committee’s conclusion(s); further, it shall list those findings of fact upon which the committee based its conclusion(s), and it may include recommendations regarding disposition of the grievance and the appropriate remedy or remedies.

4. Action by the Provost

   The Provost may request a meeting with the GHC to discuss the report. This meeting may be held outside the presence of the parties and/or their advocates.

   Whether or not such a meeting is held, the Provost shall consider the committee’s report, as well as such other documents and statements as he or she deems relevant, provided the grievant is apprised of such documents and statements, and provided further that the grievant is afforded an opportunity to submit to the Provost relevant supplementary and/or rebuttal material regarding those documents and statements considered by the Provost. The Provost then shall determine the disposition of the grievance. His or her decision shall be communicated to the parties, the GHC, and appropriate officers of the university within six weeks after the committee submitted its report. This decision shall be set forth in writing, with the reason(s) for the decision set forth.
F. Appeal of the Provost’s Decision

The grievant may appeal the Provost’s decision within seven days of receipt of the decision, not counting the day of receipt, to the President. The President shall render a final decision in the matter within six weeks after the date of the appeal. An appeal regarding the remedy provided by the Provost is addressed in Section VII, below.

VII. Remedies

There is no feasible way to detail the myriad remedies that may be afforded grievants who prevail, given that the facts of each winning grievance will be distinctive. A remedy should be devised that to the extent possible undoes the harm the grievant suffered.

A grievant should have an opportunity to suggest to the CAFT, the grievance hearing committee, the Provost, and/or the President, as the case may be, his or her proposal as to an appropriate remedy. A prevailing grievant who is dissatisfied with the remedy afforded him or her may appeal the decision regarding remedy within seven days of receipt of the decision, not counting the day of receipt, to the President of the university. The President shall render a final decision in the matter within six weeks after the date of the appeal.

VIII. General Rules

A. Expenses

The university shall not be responsible for any expenses incurred by any faculty member who pursues a grievance.

B. Time Limitations

The time limitations established herein are binding on all parties and shall not be altered without the written consent of all parties.

C. Confidentiality and Privacy

Hearings shall be closed to the public. All deliberations of the CAFT and the grievance hearing committee shall be confidential and all members of the committees are expected to maintain and protect the confidentiality of the deliberations.

D. Recording of Hearing

An audio recording of all hearing sessions shall be made and a copy thereof shall be provided at no expense to the faculty member if he or she so requests. The grievant may at his or her own expense arrange for the presence of a court reporter to record the proceedings at the grievance hearing stage. Similarly, the university may arrange for a court reporter at its expense and if a transcript of the proceedings is prepared will provide a copy of that transcript to the faculty member.

E. Stay of Other Grievances

All grievances arising out of the same facts and circumstances that form the basis for the suspension or termination proceeding shall be held in abeyance until the conclusion of that proceeding.
F. Indemnification

A grievance hearing committee member acting within the scope of his or her duties shall be indemnified if any lawsuit is brought against the member relating to his or her service on the grievance hearing committee.
Appendix J
Suspension and Termination of Faculty Members

I. Introduction

From time to time, a faculty member may be accused of conduct that may warrant suspension or termination. This Appendix addresses such situations. Throughout any and all proceedings addressed herein, the charged faculty member may be represented by an advocate(s). The advocate(s) may be an attorney and may be a member of the faculty or of the administration of the university.

II. Action Within an Academic Unit

A. Introduction

When reason arises to question whether a faculty member possessing either tenure or an unexpired term of appointment has engaged in conduct that may warrant suspension or termination, the appropriate academic unit head is expected to make inquiry as to the circumstances involving such alleged conduct. The academic unit head may undertake an informal investigation; in any event, he or she ordinarily shall discuss the matter with the faculty member and seek to arrive at a mutually agreeable resolution, subject to subsections II.B. and II.C. below. If no such discussion is feasible, by virtue of subsection II.C. below, or if an agreement with the faculty member is not reached, the academic unit head shall consult with the Provost regarding further action.

B. Appointment of an Alternate for Academic Unit Head

Notwithstanding the foregoing, if the academic unit head is himself or herself an injured party in the matter at issue, he or she shall so advise the Provost, who shall appoint another academic officer to undertake any informal investigation, to discuss the matter with the faculty member, and/or to seek a mutually agreeable resolution.

C. Confidentiality of Complaint and Complainant’s Identity

During this initial phase of the investigation and to the extent feasible, the academic unit head (or the alternate officer appointed by the Provost) shall not discuss the matter with the accused faculty member if such discussion may jeopardize the safety or position of another faculty member (the “complainant”) who has requested that his or her complaint or statement be kept confidential (as, for example, in the case of a junior faculty member who accuses a senior member of sexual harassment, on condition that his or her accusation be kept confidential.)

III. Pre-hearing Procedures

A. Appointment and Recommendations of Ad Hoc Committee

If, following consultation by the academic unit head or an alternate designee with the Provost, in accordance with section II.A., the Provost determines that further action should be taken, an ad hoc committee may be appointed by the Provost from among the members of the University Faculty Council to make informal inquiry into the situation in order to reach an agreement among the affected parties, if
possible, or alternatively to determine whether formal proceedings should be initiated. Within 60 days of
the referral of the matter to the ad hoc committee, the committee shall recommend to the Provost that the
matter be dropped, that formal proceedings be initiated, or that adjustments be made that would resolve
the matter. Within 30 days of receipt of a recommendation, the Provost will communicate to the parties
his or her response to the recommendation.

B. Grounds for Suspension or Termination

If the Provost decides to initiate formal proceedings, he or she shall prepare a statement specifying the
grounds for suspension or termination. For a faculty member’s conduct to be deemed to constitute
adequate cause for suspension or termination, such conduct shall be related, directly and substantially, to
his or her fitness in his or her professional capacity as a teacher or researcher. Suspension or termination
shall not be used to restrain a faculty member in the exercise of academic freedom.

C. Notice of Initiation of Formal Proceedings; Settlement Efforts

Formal proceedings shall be initiated by a written notice from the Provost to the faculty member
specifying the grounds for the imposition of discipline and the proposed sanction. By this notice the
Provost shall inform the faculty member that a hearing will be conducted as set forth below, unless the
faculty member and the Provost are able to work out a satisfactory settlement, which solution may range
from dismissal of the charge of wrongful conduct to separation of the faculty member from the
university. In working out a settlement, the Provost shall consider the interests of the charged faculty
member, the complainant (if any), the charged faculty member’s academic unit head, and the university.

In addition to written notice provided to the faculty member, the Provost shall within 10 days of such
notice inform the Chair of the University Faculty Council (UFC) in a written statement setting forth the
charges against the faculty member, and requesting that a disciplinary hearing committee (DHC) be
constituted within 30 days to review the facts and circumstances at issue and to recommend appropriate
sanction(s), if any. The charged faculty member and the complainant (if any), shall be given a copy of the
statement sent to the UFC Chair. However, so long as settlement negotiations are in process between the
Provost and the faculty member, such notice need not be sent to the Chair or the complainant.

IV. The Disciplinary Hearing Committee

A. Composition of a Proposed Disciplinary Hearing Committee

All faculty members holding ranks defined in this Faculty Handbook as Category I and Category II ranks
shall be members of the pool of potential members of disciplinary hearing committees (DHC). The
officers of the UFC shall order by random selection potential DHC members from the general pool of
eligible faculty. The UFC Chair, or his or her designee, shall contact pool members in the order selected.
Each such potential DHC member who is contacted shall be told on condition of confidentiality the
identities of the parties involved in the matter, and shall be informed of the general nature of the matter
and the proposed sanction.

Each potential DHC member so contacted shall be afforded an opportunity to request excusal from
service on the committee. If the UFC Chair, or his or her designee, assents, the faculty member shall be
excused. If the UFC Chair, or his or her designee, does not assent, the faculty member shall not be
excused. However, the faculty member’s request to be excused shall be disclosed to the parties at the
meeting held in accordance with the following paragraph, (i.e., section IV.B.). The UFC Chair, or his or
her designee, shall continue the selection process until 12 potential DHC members have been identified. Any potential DHC member who is a party or a witness to the conduct or event giving rise to the charge of wrongdoing shall be dismissed by the Chair.

B. Selection of Disciplinary Hearing Committee Faculty Members

The UFC Chair, or his or her designee, shall call and preside over a meeting of the parties and their advocates, if any, to select from the 12 previously selected potential DHC members the five who will serve. Each of the 12 individuals shall be called separately, in random order, to appear before the parties and their advocates. Each individual may be questioned by the parties or their advocates, as well as by the Chair, to determine bias, partiality, and/or knowledge regarding the matter. The UFC Chair, or his or her designee, may rule questions out of order if such questions are deemed irrelevant to the foregoing issues of bias, partiality, and/or knowledge. Each party shall be permitted three peremptory challenges; a challenged individual shall be required to withdraw. Once five acceptable faculty members are selected, the process shall end. However, no more than two faculty members selected for the DHC shall hold their primary appointments in the same college, school, or institute. Moreover, at least three of the faculty members shall be tenured.

C. Selection of Administration Members of the Disciplinary Hearing Committee

The Provost shall appoint to the DHC two members of administrative rank, neither of whom may be an individual who is a party to, or a witness regarding, the conduct or event giving rise to the charge of wrongdoing. One administrative member shall be an individual who is employed in the college, school, or institute, in which the charged faculty member holds her or his primary appointment. The other administrative member shall be an individual who is employed in a college or school other than the one in which the charged faculty member holds his or her primary appointment. In the event no administrator from the college or school, in which the charged faculty member holds his or her primary appointment is available, an administrator from another college or school shall be appointed.

The charged faculty member shall have the right to exercise one peremptory challenge to these administrative appointees. If such a challenge is made, the Provost shall appoint another administrative member, in accordance with the above guidelines.

D. Chair of the Disciplinary Hearing Committee

The DHC shall nominate a Chair from among its membership. Upon receipt of the nomination the Provost either shall appoint the individual nominated or shall request the committee to submit another nominee. The Provost shall state in writing the reason(s) for such request.

V. The Hearing

A. The Parties

The university shall be deemed the enforcing party in a disciplinary proceeding, and shall be represented by the General Counsel or a designee of the General Counsel. The General Counsel, or his or her designee, shall present the university’s case, including the presentation of witnesses and evidence, and shall conduct the cross-examination of the charged party’s witnesses. The charged faculty member shall be deemed the other party.
B. Burden of Proof

The university shall have the burden of proving by a preponderance of the evidence the validity of the charge leveled against the charged faculty member.

C. Establishing a Schedule and Procedural Ground Rules

In consultation with the parties, the Chair of the DHC shall establish a date and time when the hearing will be held. The Chair shall convene a meeting of the committee and the parties for the purposes of: (i) establishing procedures to be followed during the hearing; (ii) specifying the issues; (iii) securing a jointly-agreed stipulation of facts, if possible; (iv) securing a jointly-agreed statement of the issue(s), if possible; and (v) achieving other objectives that will make the hearing fair and expeditious.

D. Submission of Pre-Hearing Statements

The DHC may request the submission of written statements and/or other documents from the parties prior to the hearing.

E. Conduct of the Hearing

At the hearing the charged faculty member or his or her advocate(s) and the General Counsel, or his or her designee, shall be afforded an opportunity to make an opening statement as to the facts and circumstances surrounding the charged wrongdoing. Each party, as well as the committee itself, may present documents and call individuals to testify. Each party may question the other’s witnesses. However, at its sole discretion the committee may require that such questioning be done through the Chair. Committee members may question participants directly.

The DHC is not bound by legal rules of evidence and may consider any evidence it deems relevant to the issues in dispute. Committee members may solicit and/or receive statements, and/or obtain and review documents or other information in addition to that which is submitted by the parties, provided that such information is disclosed to the parties and the parties are given at least seven days to respond to such information.

F. Waiver of Right to Participate in the Hearing

The charged faculty member may waive his or her right to participate in the hearing. Refusal to participate shall constitute a waiver of his or her right to participate. Even if the charged party waives the right to participate in the hearing, he or she may submit to the committee a written denial of the charge; an admission to the charge; an assertion that the charge does not constitute adequate cause for discipline; a suggested alternative to the proposed sanction; and/or relevant documentation in support of his or her position(s).

G. Committee Conclusions

Within a reasonable time after the hearing, the DHC shall consider all the evidence presented to it, including written submissions received in accordance with the foregoing provisions. Within 30 days of the close of the hearing, the committee shall submit a written report to the Provost summarizing its activities, setting forth its findings of fact and conclusion(s) as to the charge(s), and providing its recommendation(s), if any, regarding sanctions. A copy of the report simultaneously shall be provided to
the charged faculty member, the complainant (if any), and to the university General Counsel, or his or her designee.

VI. Action by the Provost

The Provost may request a meeting with the DHC to discuss its report. This meeting may be held outside the presence of the parties and/or their advocates. Whether or not such a meeting is held, the Provost shall consider the committee’s report, as well as such additional documents and statements as he or she deems relevant, provided the charged party and the university General Counsel, or his or her designee, are apprised of such additional documents and statements, and provided further that each is afforded an opportunity to submit to the Provost relevant supplementary and/or rebuttal material regarding these additional documents and statements. The Provost then shall determine the disposition of the matter. His or her decision, with the reason(s) for it set forth, shall be in writing and shall be communicated to the parties, the complainant, the DHC, the UFC, and appropriate officers of the university within six weeks after the committee submitted its report.

VII. Appeal of the Provost’s Decision

The charged faculty member may appeal the Provost’s decision on the merits and/or the sanction imposed within seven days of receipt of the decision, not counting the day of receipt, to the President. The President shall render a final decision in the matter within six weeks after the date of the appeal.

VIII. General Rules

A. Expenses

The university shall not be responsible for any expenses incurred by a charged faculty member.

B. Time Limitations

The time limitations established herein are binding on all parties and shall not be altered without the written consent of all parties.

C. Confidentiality and Privacy

Hearings shall be closed to the public. All investigations by the academic unit head, deliberations of the DHC, activities of the university General Counsel, and determinations by the Provost shall be confidential and these individuals are expected to maintain and protect the confidentiality of their activities and decisions. However, if the charged faculty member chooses to make public the existence of the hearing and/or its disposition, the confidentiality requirement shall be deemed to be waived for all parties. In any event, the Provost may make public a sanitized report (i.e., a report excluding identifying details, such as names), as to the disposition of a charge of wrongdoing.

D. Recording of Hearing

An audio recording of all hearing sessions shall be made and a copy thereof shall be provided at no expense to a charged faculty member if he or she so requests. The charged faculty member may at his or her own expense arrange for the presence of a court reporter to record and transcribe the DHC proceedings.
E. Stay of Other Proceedings

All administrative claims or grievances arising out of the same facts and circumstances that form the basis for a disciplinary proceeding shall be held in abeyance until the conclusion of that proceeding.

F. Indemnification

A DHC member acting within the scope of his or duties shall be indemnified if any lawsuit is brought against the member relating to his or her service on the committee.

IX. Status of Charged Faculty Member Pending Resolution of Disciplinary Proceeding

While the disciplinary process is being pursued, efforts shall be made to minimize any harm to the charged faculty member, to his or her reputation, and to the university. It is expected that the process will be concluded expeditiously, while at the time assuring the faculty member a full and fair hearing. Pending the final outcome of the hearing, the faculty member shall continue to perform assigned duties unless the faculty member or others are at risk of harm\(^1\) by such continuation, in which case the faculty member may be suspended with pay or assigned to other duties. The Provost shall determine, after consultation with the Chair of the UFC, whether the faculty member should continue in assigned duties or whether he or she should be suspended with pay or assigned other duties. The decision to suspend with pay is not subject to grievance or appeal.

\(^1\) Harm includes both physical and non-physical manifestations or effects.
Appendix K
Patent and Copyright Policy

I. Patent Policy

A. Functions of Patents

Illinois Institute of Technology recognizes that patents on inventions arising from university research serve several important functions. A patent:

1. ensures that the potential scientific and social advantages arising from an invention will be realized to the fullest;

2. encourages invention and rewards inventors;

3. ensures protection and control of inventions in the public interest; and

4. generates income for the funding of research.

IIT therefore has instituted the following Patent Policy, which applies to inventions of faculty, staff, and students.

B. Definitions

1. “University research” is any research that is not personal research, including, but not limited to, research funded by external agencies, corporations, foundations, and societies, as well as research supported by university funds.

2. “Personal research” is research that is conducted without financial support from the university other than normal salary and related benefits; is carried out in the investigator’s discretionary time, without requiring release time from normal duties at the university; requires no significant assistance from university faculty, staff, and students, unless shown to be in their discretionary time; and makes no significant use of university research facilities or equipment.

C. Disclosure

All inventions arising from university research must be reported as promptly as possible and in accordance with disclosure requirements associated with any grant or contract under which the university research was supported. An invention disclosure must be submitted by the inventor to the Director of Technology Transfer & Intellectual Property before any public disclosure (i.e., journal publication, lecture, news release, etc.) is made. Inventions arising from personal research may be reported at the discretion of the inventor. All inventors shall exercise their best judgment in classifying any invention as resulting from personal research.
D. Ownership

Any invention resulting from personal research belongs exclusively to the inventor and the university has no rights in it. Such inventions may be reported at the inventor’s discretion, if the inventor desires to make use of the university’s sources of information concerning inventions or the university’s mechanisms for patenting inventions. These university resources are available to any faculty member. The use of these resources by an inventor does not give the university any rights in an invention resulting from personal research or in profits accruing to such an invention.

Any invention identified in writing by both the inventor and the Director of Technology Transfer & Intellectual Property as resulting from university research or determined to be the result of university research pursuant to the immediately following paragraph belongs exclusively to IIT, and it will be administered according to the procedures set out in this policy. The inventor of any such invention does hereby assign to the university his or her right, title and interest in any such invention so resulting.

If the circumstances surrounding ownership of an invention are complicated or unusual, the case may be put before a Patents Committee, which shall include at least three members of the faculty, the Provost, the Director of Technology Transfer & Intellectual Property, the Director of the Office of Sponsored Research, and the General Counsel, and which shall be chaired by the Provost. No fewer than five faculty members of the committee shall be nominated by the University Faculty Council, and three of them shall be appointed by the Provost. The committee shall meet within 30 days of submission of the invention disclosure to the Director of Technology Transfer & Intellectual Property and the committee decision assigning ownership shall be final.

E. Administration of IIT-Owned Inventions

All inventions owned by IIT shall be first reviewed by the Patents Committee, in consultation with the inventor and, if necessary, with experts in the field of the invention. The committee may then refer the matter to a patent attorney for an opinion on the patentability of the invention. A determination will then be made by the Director of Technology Transfer & Intellectual Property in consultation with the inventor and other members of the patents committee as to whether a patent application should be filed. The criteria to be used in making the determination shall include the patentability of the invention and the potential benefit to the university in owning the patent.

Inventions resulting from any but federally sponsored research will be offered to the inventor if no commitment for patenting has been made within six months of the inventor’s disclosure to the Director of Technology Transfer & Intellectual Property.

Inventions resulting from federally sponsored research will be offered to the inventor whenever possible, if no commitment for patenting has been made within six months of the inventor’s disclosure to the Director of Technology Transfer & Intellectual Property. Assignment to the inventor of title to inventions resulting from federally sponsored research is always contingent on permission from the sponsoring agency. If permission is not granted, or if an inventor wishes to decline title to an invention, then title shall be assigned to the sponsoring federal agency.

F. Distribution of Income

The inventor shall receive 50 percent of IIT’s net income from the invention. Net income is the income remaining after deductions for payments or obligations directly attributable to patenting, marketing,
licensing, protecting, or administering the invention. IIT shall begin to share royalty income with the inventor when IIT begins to receive royalty payments and before expenses have been recovered. The IIT share of invention proceeds will be used to support research after IIT’s expenses have been recovered.

The Patents Committee may determine that under certain circumstances it would be appropriate for the inventor and/or his or her department to pay some portion of the expenses associated with patenting and marketing the invention. The committee may propose such an arrangement to the inventor and/or to his or her department, and the parties may negotiate an agreement with terms that are different from those stated in this policy. If no agreement is reached, the Patents Committee shall make a final determination either to proceed with the invention under the terms of this policy or to assign title to the invention to the inventor.

G. Multiple Inventors

In the case of multiple inventors, the inventor’s share of 50 percent of IIT income from an invention will be divided among the co-inventors according to any agreement they may reach among themselves. If the co-inventors cannot agree on an equitable distribution of the inventor’s share, they may ask the Patents Committee to arbitrate an agreement, and the decision resulting from such arbitration shall be final.

H. Overriding Agreements

The Provost may authorize agreements that entitle a sponsor to ownership of any discovery or invention made under a grant or contract, if such terms are necessary as a prerequisite for university participation in a project. In such cases the terms of the grant or contract agreement override any stipulations of this policy. However, in entering into any research agreement the university reserves the right to a non-exclusive, royalty-free license as to any invention resulting from sponsored research.

For federally sponsored projects the terms of federal laws and regulations affecting patents override the stipulations of this policy in any case where the two conflict.

I. Exceptional Cases

If an inventor feels that the circumstances surrounding an invention are highly exceptional and make inappropriate the provisions of this policy, the inventor may request a meeting of the Patents Committee to review the case. Any committee decision regarding ownership, administration, or royalty distribution for an invention shall be final and binding on the inventor.

II. Copyright Policies

A. Policy Objectives

The policy of IIT is to encourage the development of copyrightable material by its faculty, staff, and students, and the dissemination thereof. The university seeks both to protect the traditional academic freedom of its faculty and students, and to balance the rights of authors, sponsors, and the university. The university also seeks to encourage the wide distribution of scholarly works produced by the faculty. Further objectives of the policy include recovery of expenses from significant use of university facilities and sharing of revenues when the university has been a significant partner in the work.
B. Statement of Policy

Ownership of copyright shall remain with the author in all cases except where: (a) the specific work is assigned as part of university employment and thus is a work for hire; (b) creation of the work involves extensive use of university personnel, facilities, or funds; or (c) the university’s contractual obligations require other arrangements. Ownership in these cases will be determined according to the provisions of Section D below.

C. Explanation of Copyright and Copyright Protection

1. Copyright. Under federal copyright law, copyright subsists in original works of authorship that have been fixed in any tangible medium of expression from which they can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device. These works include: (1) literary works such as books, journal articles, and computer programs; (2) musical works; (3) dramatic works; (4) pantomimes and choreographic works; (5) pictorial, graphic, and sculptural works; (6) motion pictures and other audio-visual works; and (7) sound recordings. Copyright does not extend to any idea, procedure, process, system, method of operation, concept, principle, or discovery.

2. Rights of Copyright Owner. Subject to certain exclusions and limitations in copyright law, the copyright owner has the exclusive right: (1) to reproduce the work; (2) to prepare derivative works based on the copyrighted work; (3) to distribute copies to the public by sale or other transfer of ownership, or by rental, lease, or lending; and (4) to perform or display the work publicly.

3. Works for Hire. A work prepared by an employee within the scope of his or her employment is a work for hire. The employer, by law, is the "author" and therefore the owner of works for hire for copyright purposes.

D. Interpretation and Implementation of Policy

The following guidelines will be followed in implementing the policy.

1. Books, Articles, and Similar Works. In keeping with scholarly tradition, the university does not claim ownership of books, articles, or similar works authored by faculty or staff. Ownership of these works vests in the author.

2. University-Assigned Works. Copyright of materials produced by an employee shall be the property of the university if the materials are works for hire. These are materials for which the individual was paid specifically for the production of the materials, was employed by the university for the specific purpose of preparing or producing the materials, or was assigned to do so as part of his or her general employment duties.

3. Works with Extensive Real Costs to the University. University facilities are not to be used for personal gain or commercial advantage. Copyright of materials may be claimed by the university if the production involves extensive real costs to the university. Clearly insubstantial usage shall not cause ownership to vest in the university, nor shall use of facilities for which the individual has paid use fees from personal funds.
4. A faculty member may use materials that he or she has developed in preparing a course, to produce a textbook or other work. The resulting work is the property of the faculty member.

5. Determination of when use of university facilities is “extensive” is a matter of judgment based on the situation and the practices in particular academic units. Generally, the university intends to encourage individual initiative and creativity.

6. Sponsor-Supported Work. Copyright in works developed as a result of work supported partially or fully by an outside agency through grant or contract with the university shall be disposed of in accordance with the terms of the grant or contract.

7. Computer Software and Databases. Computer software and databases produced at the university are normally university-assigned works. In these cases, the university owns the copyright.

E. Distribution of Income

1. Income derived from a work in which the university claims no copyright belongs to the author of the work.

2. Income derived from a university-assigned work belongs to the university.

3. If income is derived from a work developed with extensive use of university facilities, 50 percent of the net income shall be paid to the author of the work and 50 percent shall be retained by the university. The university reserves the right to deduct from gross royalty income, prior to any distribution, expenses properly attributable to the protection or marketing of the material. The author shall be reimbursed for any out-of-pocket expenses incurred in developing the work before the university retains any royalties.

4. Income derived from a sponsor-supported work shall be distributed as provided in the agreement with the sponsor.

5. The university may have reason to make other arrangements with members of the faculty and staff for the production of copyrightable materials. In such cases, individual written agreements will be entered into and the provisions of these agreements shall take precedence over the provisions of this policy.

F. Administration of the Policy

1. If the copyrightable material is developed with the assistance of, or in the course of employment at, IIT Online, the Academic Resource Center, the Center for Study of Ethics in the Professions, the Office of Marketing &Communications, or a similar administrative unit that regularly develops and distributes copyrightable material, the director of that unit shall be responsible for administration of the policy with respect to that material. If the copyrightable material is developed with the assistance of, or in the course of employment in, some other department, the Office of Sponsored Research shall be responsible for such administration.

2. Wherever possible, the administrator of the policy and the author shall reach agreement prior to the commencement of work on the copyrightable material with respect to the category in which that material will fall.
3. The following copyright notice is to be used on all university-owned materials:

Copyright [year] Illinois Institute of Technology.
All rights reserved.

No other institutional or departmental name is to be used in the copyright notice.

G. Resolution of Differences

Disagreements about administration of this policy in any particular case, including a determination as to the category in which a work falls, shall be referred to the Committee on Copyrights. This committee shall be made up of three members of the faculty, the Provost, and the General Counsel, and shall be chaired by the Provost. No fewer than five faculty members of the committee shall be nominated by the University Faculty Council, and three of them shall be appointed by the Provost. The committee shall meet within 30 days of submission of a dispute to the Provost. The committee decision resolving the dispute shall be final within the university.

H. Return of Copyright to Author

Authors of works whose copyright is owned by the university may petition the Committee on Copyrights to have the copyright returned to the author if, in the author’s assessment, the university does not offer the copyrighted materials for sale in a timely fashion. In this case, the university retains a non-exclusive, royalty-free license.

I. Copying of Works Owned by Others

Members of the university community are required to observe the rights of other copyright owners. Copies of guidelines for classroom and library use are available from the Dean of Libraries and the Director, IIT Downtown Campus Library.

III. Special Provisions Relating to Distance Learning

A. Transmission of Live Instruction

The university may transmit any classroom instruction, lecture or other instructional or performance event produced by faculty members as part of a program of distance learning with the consent of the instructor. The academic unit head is responsible for obtaining the consent of the instructor.

The university may record such instruction on videotape or provide the instruction online for students who have missed particular classes or who wish to review material covered in class. The university, however, may not sell or re-transmit in future semesters any such recording except under the terms of a written agreement between the university and the faculty member setting out the proposed use and providing each party with an agreed upon percentage interest in the net profits from either the sale or rebroadcast, usually following the guidelines set out in section B below.
B. Creation of Materials for Web-Based or Electronically Transmitted Instruction

1. Using Substantial University Resources

In cases where a course and/or other materials relating to online or otherwise electronically transmitted instruction are developed using university production facilities, staff and other university resources (generally having a value of $1,000 or more), ownership and royalties of the materials will be determined as follows.

(a) IIT owns the copyright for the course materials.

(b) Royalties

   (i) If IIT provides resources for the development of the course materials (i.e., presentation design and consultation, labor for preparation of documents), then the faculty member creating the materials shall receive 50% of IIT’s net income from licensing or other distribution of the materials.

   (ii) If IIT only provides production for course delivery, then the faculty member creating the materials shall receive 75% of IIT’s net income from licensing or other distribution of the materials.

2. Not Using Substantial University Resources

If a faculty member develops course materials relating to online or otherwise electronically transmitted instruction on his or her own initiative and without substantial use of university resources, i.e., resources having a value in excess of $1,000, the faculty member shall own the course materials as provided in the copyright policy. If there is some lesser use of university resources (i.e., having value between $100 and $1,000), the faculty member shall reimburse the university for such use from any royalties earned from distribution of the materials. Use of university personal computers and resources having value less than $100 need not be reimbursed.

C. Other Policies Relating to Course Materials

1. The university has ultimate responsibility for and control over any online instruction used in support of its programs. If a faculty member is using online instruction, but not through IIT Online, he or she must inform the university of the nature and extent of that use and shall obtain permission from his or her academic unit head before beginning any such online instruction.

2. Faculty members have the right and obligation to update, edit or otherwise revise electronically developed course materials that become out of date, and in certain circumstances, place a time limit upon the use of electronically developed course materials that are particularly time sensitive.

3. The Vice Provost for Academic Affairs will promulgate procedures for development and delivery of online instruction consistent with this policy.
Appendix L
Review of Alleged Research Misconduct

I. Introduction; Applicability

The Public Health Service and National Science Foundation require institutions that apply for funding for activities – including, but not limited to, research; research training; extramural and intramural research programs or activities; contracts that support research, research training or activities related to research or research training; and research-related grants, contracts or cooperative agreements – to establish a process to review and report allegations of research misconduct. This policy applies to all persons affiliated with IIT, whether the research is funded or not.

II. Definitions of Research Misconduct and Other Terms

For purposes of this policy, the terms below shall have the following meanings:

“Allegation” is a written, oral or electronic disclosure of possible research misconduct through any means of communication to an IIT or funding agency official.

“Fabrication” is making up data or results and recording or reporting them.

“Falsification” is manipulating research materials, equipment or processes or changing or omitting data or results such that the research is not accurately represented in the research record.

“Inquiry” is the preliminary information-gathering and fact-finding undertaken to determine whether an allegation of research misconduct is sufficiently supported so as to warrant an investigation.

“Investigation” is the formal development of a factual record and the examination of that record to determine whether a finding of research misconduct is warranted and, if so, to recommend appropriate remedies.

“Plagiarism” is the appropriation of another person’s ideas, processes, results or words without giving appropriate credit.

“Research” is a systemic experiment, study, evaluation, demonstration or survey designed to develop or contribute knowledge to science or public health by establishing, discovering, developing, or confirming information about, or the underlying mechanism relating to, the biological, chemical, or physical causes, functions or effects of the matter being studied.

“Researcher” means any faculty member, research associate, student or any other individual conducting research through IIT.
“Research Misconduct” includes fabrication, falsification, plagiarism or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, reporting or reviewing results of research and other activities. Research misconduct includes retaliation of any kind against a person who in good faith reported or provided information about suspected misconduct. It does not include honest error or differences in interpretations or judgments of data.

“Research Record” is the record, data or results that embody the facts resulting from scientific inquiry, including, but not limited to, research proposals, laboratory records, both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports, journal articles, and documents and materials provided by a researcher accused of research misconduct in the course of a proceeding under this policy.

III. Allegations; Inquiries; Investigations

This policy establishes a three-phase review process: allegation, inquiry and investigation. During the course of each phase, persons who have the necessary and appropriate expertise shall be utilized to evaluate relevant evidence. All such persons will be free of any conflicts of interest. All matters involving perceived or real conflicts of interest on the part of those involved in the inquiry or investigation shall be resolved by the Provost. If the Provost has any role in the conflict of interest or the alleged misconduct, then the President shall appoint another senior administrator to serve in place of the Provost.

During the review of an allegation and the course of any inquiry or investigation, to the maximum extent possible, the identity and privacy of those reporting suspected research misconduct and the researchers accused of such misconduct will be protected. In addition, all proceedings and all affected individuals will be afforded confidential treatment to the extent permitted by applicable law, regulations and policies.

The Provost will ensure the retention of all records of a proceeding for at least seven years after termination of the proceeding, so as to permit a federal funding agency to conduct its own evaluation of the proceeding. Records to be retained, include, but are not limited to, (i) all research records, (ii) the inquiry report and final documents prepared in the course of producing the report, including exhibits, minutes, meeting schedules and other materials, and (iii) the investigation report and all records in support of that report, including exhibits, minutes, meeting schedules and other materials.

A. Reporting Alleged Research Misconduct

An allegation of research misconduct must be made directly to the Provost, who will conduct or will designate a senior administrator to conduct, under his or her oversight, a preliminary evaluation into the matter. Generally, the alleged research misconduct must have occurred within six years of the date the allegation is reported to the Provost. The Provost will have access to all documents necessary to evaluate the allegation and may confidentially consult with others during his or her evaluation. If the Provost finds no credible and specific evidence sufficient to support the allegation, then the complaint will be dismissed, and no notice need be given to
the researcher. The Provost, however, will prepare a written report setting forth the bases for this decision. The party making the allegation will be notified of the dismissal. If the Provost determines that the allegation is sufficiently credible and specific so that potential evidence of research misconduct may be identified, then the Provost, within a reasonably timeframe, will appoint an ad hoc committee (“Committee”) to conduct an inquiry and, if warranted, an investigation of the allegation. The Committee will consist of three members selected using a process similar to that outline in Appendix J, Article IV of the Faculty Handbook, provided that the Provost’s selection will be final. Prior to the beginning of the inquiry, the accused researcher will be given written notification of the allegation and a copy of this policy. On or before the date of such notification, the Provost will take all reasonable and practical efforts to secure all research records and evidence needed to conduct the proceedings, inventory these items and sequester them in a secure manner, provided, however, the accused researcher will be given copies of or reasonable access to all relevant materials, as appropriate.

B. Committee Inquiry

1. Purpose
The purpose of an inquiry is to conduct a preliminary review of the evidence to determine whether an allegation of research misconduct warrants an investigation. The inquiry will evaluate whether the allegation appears to be well-founded, the seriousness of the misconduct, the scope of the incident and the relevance of any other available information. As a preliminary review, the Committee need not conduct a full review of all evidence related to the allegation.

2. Committee Report Regarding the Inquiry
Within 60 days of its formation, the Committee will complete an inquiry into the allegation and prepare a written report that will be submitted to the Provost. The report will state the evidence reviewed, summarize relevant interviews and contain the recommendations of the Committee, including whether a full investigation is warranted. The Committee should not attempt to reach a final conclusion on the merits of the allegation. A copy of this report will be given to the accused researcher. The accused, within 14 days of receipt of the report, may submit his or her comments regarding the report for inclusion in the inquiry record. The Provost will review the Committee report and the comments of the accused researcher and will make a determination whether (i) the allegation falls with in the definition of research misconduct, and (ii) the preliminary fact-finding indicates the allegation may have substance. If the Provost so concludes, an investigation will commence; if not, the case will be dismissed. If the Provost decides that an investigation is not warranted, he or she will prepare a written report setting forth the bases for this decision. The Provost will provide the accused researcher written notification of the decision and a copy of the Committee’s
report. The Provost may elect to notify the party that made the initial allegation.

3. Notifications by IIT
In cases where an investigation is found to be warranted and the related research is subject to misconduct regulations promulgated by a federal agency, IIT’s General Counsel shall notify, within 30 days, the appropriate agency official of the investigation and provide the agency with all required information. The agency will also be notified within 48 hours after the General Counsel obtains any reasonable indication of a possible criminal violation. If necessary, IIT shall take all appropriate administrative actions to protect federal funds and to ensure that the purposes of federal financial assistance are carried out.

C. Committee Investigation

1. Purpose
The purpose of an investigation is to examine, in a full and impartial manner, an allegation of research misconduct in order to determine whether such misconduct has occurred. In making its findings, the Committee must find that (i) a significant departure from accepted practices of the relevant research community exists, (ii) the accused researcher acted intentionally, knowingly or recklessly and (iii) the relevant evidentiary standard is met.

2. Proof
A finding of research misconduct must be proven by a preponderance of the evidence. The accused researcher has the burden of proof as to affirmative defenses or mitigating factors, including the existence of an honest error or difference in interpretation or judgment of data. Such defenses must be supported by a preponderance of the evidence. The destruction of, absence of or failure to produce research records or the accused researcher's failure to furnish research records adequately documenting the questioned research is evidence of research misconduct if it is established by a preponderance of the evidence that the researcher (i) intentionally, knowingly or recklessly had the records destroyed, (ii) had the opportunity to maintain the records but failed to do so, or (iii) failed to produce the records in a timely manner.

3. Procedure
Immediately upon making the determination that an investigation is warranted, the Provost will appoint a new Committee of three members selected using a process similar to that outline in Appendix J, Article IV of the Faculty Handbook, provided that the Provost’s selection will be final. The Committee will undertake an investigation within 30 days appointment. In addition to reviewing any and all relevant documents, information and materials, interviews will be held with individuals who may have
information, including the accused researcher and the party making the allegation. Consultation with experts from within or without IIT may also be undertaken. A complete summary of any interview will be prepared and submitted to the interviewed party for comment or revision. All comments or revisions must be made within 14 days after receipt of the summary. The accused researcher must be provided an opportunity (i) to respond both in writing and orally to the charges against him or her and (ii) to present evidence to the Committee. Investigations shall be completed within 120 days, unless an extension is granted by the Provost or, if applicable, the relevant funding agency.

4. Report
The Committee will prepare a draft report and provide a copy of it to the accused researcher, who may, within 30 days of receipt, review and comment on the report, including offering corrections, accepting its conclusions or denying the allegation. The Committee will then compile a final report and transmit it (along with any minority reports) to the Provost. The Report will (i) set forth the allegation and the federal funding, if any, that supported the research in question; (ii) will summarize the evidence reviewed; (iii) will assess the validity of the allegation; and (iv) will recommend sanctions and other actions. The final report and its attachments will be forwarded to the Provost for review and disposition. If the Provost finds that the accused researcher has not engaged in research misconduct, the Provost will dismiss the complaint, but the Provost will prepare a written report setting forth the bases for this decision. If the Provost finds that the accused researcher has engaged in research misconduct, the Provost will order appropriate sanctions.

5. Notifications by IIT
As required by applicable governmental regulations, the General Counsel’s Office will periodically report to the relevant federal agency officer any facts that may affect current or potential federal funding for the individual under investigation or that the agency needs to ensure appropriate use of federal funds and to protect the public interest. The designated agency officer will be notified of the final outcome of the investigation and will be provided with copies of all materials required by applicable regulations.

The Provost must ensure that inquiries and investigations are seen through to completion and pursued diligently as to all significant issues. As required, the applicable federal agency must be notified in advance if IIT plans to close a case at the inquiry or investigation stage on the basis that the accused researcher has admitted guilt, entered into a settlement or any other reason. The Provost need not report to the agency the closing of a case at the inquiry stage on the basis that an investigation is not warranted, but the Provost must report a finding of no misconduct at the investigation phase.
The Provost may take action and notify the relevant federal agency, without prior hearing or review, if any of these conditions exist:

(a) The health or safety of the public is at risk, including an immediate need to protect human or animal subjects;
(b) HHS resources or interest are threatened;
(c) Research activities should be suspended;
(d) A reasonable indication of a possible civil or criminal violation exists;
(e) Federal action is required to protect the interest of those involved in the Research Misconduct proceeding;
(f) The Provost believes the Research Misconduct proceeding may be made public prematurely so that HHS may take appropriate steps to safeguard evidence and protect the rights of those involved; or
(g) The Research community or public should be informed.

6. Sanctions
In the event an allegation of research misconduct is substantiated, the Provost shall impose all appropriate sanctions. If the Provost determines that termination is the appropriate remedy and the researcher is a faculty member, the termination process with be conducted in accordance with the procedures set forth in Appendix J. However, for purposes of a termination hearing all determinations of fact made by the Committee hereunder shall be viewed as final.

Where an allegation of research misconduct is not confirmed, the Provost will pursue all diligent efforts to restore the reputation of the accused researcher as well as to protect the reputation and position of the person who made the allegation.
Appendix M
Policy on Sexual Harassment

I. Introduction

Illinois Institute of Technology is committed to ensuring an environment for all students and employees that is fair, humane, and respectful - an environment that supports and rewards student and employee performance on the basis of relevant considerations such as ability and effort. Behaviors that inappropriately assert sexuality as relevant to student or employee performance damage this environment.

Therefore, IIT will provide for its students and employees an educational and employment environment free of unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct or communications constituting sexual harassment as defined and otherwise prohibited by local, state, and federal law.

II. Sexual Harassment Defined in Employment

The Illinois Human Rights Act, as well as guidelines issued by the federal Equal Employment Opportunity Commission, define sexual harassment as any unwelcome sexual advances or requests for sexual favors or any conduct of a sexual nature when submission to such conduct is made either explicitly or implicitly a term or condition of an individual’s employment; submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or such conduct has the purpose or effect of substantially interfering with an individual’s work performance or creating an intimidating, hostile, or offensive working environment.

III. In Relation to Students

The Illinois Human Rights Act specifically prohibits in higher education any unwelcome sexual advances or requests for sexual favors made by a higher education representative to a student. It also prohibits any conduct of a sexual nature exhibited by a higher education representative toward a student, when such conduct has the purpose of substantially interfering with the student’s educational performance or creating an intimidating, hostile, or offensive educational environment.

The Illinois Human Rights Act further provides that a higher education representative may not either explicitly or implicitly make the student’s submission to such conduct a term or condition of, or use the student’s submission to or rejection of such conduct, as a basis for determining admission to an institution of higher education, courses, fields of study, or programs, including honors and graduate programs; educational performance requirements or expectations; attendance or assignment requirements; placement or course proficiency requirements; quality of instruction; tuition or fee requirements; scholarship opportunities; membership on extracurricular teams or participation in extracurricular competitions; grades in any examination or in any course or program of instruction; progress toward successful completion of or graduation from any course or program of instruction; or what degree, if any, the student will receive. For purposes of this definition, higher education representative means any administrator, a member of the faculty, or anyone else providing instruction, including graduate assistants.
IV. **Faculty Student Romantic Relationships**

Romantic relationships that might be appropriate in other contexts may, within a university, 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.

V. **Recognizing Sexual Harassment**

Sexual harassment is unsolicited, offensive behavior that inappropriately asserts sexuality over status vis-à-vis a student or employee. When it occurs in the classroom or in the workplace, sexual harassment can threaten a person’s academic status and/or economic livelihood. Sexual harassment takes many different forms and its victims are primarily, but not exclusively, women.

Examples of verbal sexual harassment include sexual innuendo, suggestive comments, insults, humor and jokes about sex or gender-specific traits, sexual propositions, and threats. Non-verbal harassment includes suggestive or insulting sounds, leering, whistling, and obscene gestures. Physical sexual harassment includes touching, pinching, brushing the body, assault, and coerced sexual contact including, but not limited to, intercourse.

VI. **Dealing with Sexual Harassment**

Awareness of rights and responsibilities is the basis for establishing standards. Therefore, this policy is published in hard copy and electronic form in the faculty, staff, and student handbooks. Also, a copy of the policy is available at various offices on campus.

A. **Possible Individual Actions Other Than Complaint**

In circumstances where it would not jeopardize personal safety, job status, or academic status, a person subjected to unwelcome attention should communicate clearly to the offender that the behavior is not welcome and should cease immediately.

An effort should be made to determine whether other students or coworkers have been harassed. Together, complainants are in a stronger position to cope with the situation and the offender.

Advice on how to deal with harassment should be sought from the Dean of Students or the Assistant Dean for Academic Administration and Student Affairs at Chicago-Kent (for Chicago-Kent), the Title IX Coordinator, the Associate Vice President of Human Resources or the Director of Equal Opportunity and Affirmative Action.

B. **Making a Complaint**

A complaint alleging violation of the policy prohibiting sexual harassment may be filed by any person who has been the subject of such harassment. The privacy of complainants and those accused of violating this policy shall be protected to the extent possible. Upon motion of any party, meetings and hearings shall be closed. All reasonable measures will be taken to assure that no one involved in any complaint, investigation, or remedy shall suffer retaliation as a result of the proceedings.
Except for informal complaints in which the complainant elects to take no action beyond consultation, all parties involved in the complaint shall be informed of the content and status of the complaint and shall be given the opportunity to respond. No actions with respect to the complainant shall be initiated without the consent of the complainant, unless a determination is made by the General Counsel that the best interests of the individuals or the university require action, notwithstanding the absence of such consent.

C. Informal Consultation and Resolution

Members of the university community who believe they have been subjected to sexual harassment as defined in this policy are encouraged to seek counsel, as appropriate, of faculty members, residence hall advisers, academic unit heads, deans, supervisors, department heads, or administrative officers of the university. The offices of student affairs, human resources, the Student Health and Wellness Center and the Title IX Coordinator are particularly appropriate entities/persons from which to seek counsel.

The person from whom counsel has been sought will review the options available under this policy and, at the complainant’s request, may help the complainant to resolve the matter informally. However, such person should promptly contact the Dean of Students, or Assistant Dean for Academic Administration and Student Affairs at Chicago-Kent (for Chicago-Kent, the Associate Vice President of Human Resources, the Title IX Coordinator or the Director of Equal Opportunity and Affirmative Action, as appropriate, prior to an attempt at informal resolution. Should informal resolution not be possible, the person from whom counsel has been sought should assist in drafting a formal complaint or should refer the complainant promptly to one of the administrators identified above for assistance. The person alleged to have violated this policy will not be informed of the allegation without the consent of the complainant until and unless he or she is requested to assist in informal resolution of the allegation or a decision is made to submit a formal complaint.

D. Investigation Prior to Formal Action

Formal complaints should be filed with the Director of Equal Opportunity and Affirmative Action who will consult with the appropriate administrative officers to determine the method by which a preliminary investigation will be conducted. The purpose of the preliminary investigation is to establish whether there is a reasonable basis for believing that a violation of this policy occurred. The preliminary investigation will afford the accused notice of the allegations and ample opportunity to respond. The investigator shall interview the complainant, the accused, and any other persons believed to have pertinent information, taking precautions to insure confidentiality throughout.

At the close of the preliminary investigation, the investigator shall prepare a summary statement of findings. Possible outcomes include a judgment that the allegations are not founded; a negotiated settlement of the complaint; and a recommendation for formal action.

The investigator and the parties involved shall sign the statement of findings and copies will be provided to the parties and to the affirmative action officer.

E. Formal Action

Upon receipt of a recommendation for formal action, the Director of Equal Opportunity and Affirmative Action will review the report of the preliminary investigator with the appropriate administrative official defined below:
When a faculty member, graduate assistant, or other academic employee has been charged, the Provost or that person’s designee; when a staff member has been charged, the Associate Vice President of Human Resources or that person’s designee; when a student has been charged, the Dean of Students or Associate Dean (Chicago-Kent) or that person’s designee.

Changes in the administrative structure may require revisions in the assignment of administrative officers. Cases involving faculty members will be governed by the appropriate procedures in the Faculty Handbook; those involving student violations will be governed by the student code of conduct (in the IIT Student Handbook), or the Chicago-Kent Student Handbook, as appropriate; those involving staff will be handled by the process outlined in the Employee Handbook.

Efforts shall be made by the appropriate hearing panel/administrator to resolve the matter before it. At the close of the hearings, the panel/administrator shall prepare a summary stating whether or not a violation has occurred and shall recommend a disposition if a violation is determined to have occurred. Recommendation for remedies may include, but are not limited to, mandatory workshop participation, therapy, reprimand, apology, suspension, and/or termination of the offender subject to established university procedures. If there are findings of frivolous or malicious allegations, they will be addressed by the panel/administrator and recommendations for remedy shall be made.

In extraordinary circumstances the Provost or President, in consultation with the Chair of the University Faculty Council, may, at any time during the proceedings, suspend a member of the university community from participation in activities where there is cause to believe that serious and immediate harm to others will ensue.

The reports of hearing panels/administrator shall be submitted to the appropriate officers of the university as follows: instances involving faculty shall be reported to the Provost; those involving students to the Dean of Students or Associate Dean (Chicago-Kent); those involving staff to the Associate Vice President of Human Resources. The final decision on remedies shall be made by the appropriate officer and shall be reported to the hearing panel and the parties involved.
Appendix N
Privacy Rights and Access to Educational Records

I. Protection of Privacy

Illinois Institute of Technology respects the right of privacy of its students and acknowledges the responsibility to maintain confidentiality of personally identifiable educational records. The following policies and procedures will be followed in regard to such educational records.

A. Accessibility of Educational Records

IIT has adopted a policy of not disclosing personally identifiable information, other than directory information, from the education records of a student without his or her prior written consent, except in the following instances:

1. to school officials, including teachers, within the educational institution who have a legitimate educational interest (see Sections I.C. and VI, below);

2. to officials of another school in which the student seeks or intends to enroll, provided that a documented attempt shall be made to notify the student of intended disclosure prior to submission of such information;

3. to certain authorized representatives of the United States and of state agencies who require such information to carry out lawful functions;

4. in connection with the student’s application for, or receipt of, financial aid;

5. to organizations conducting studies for, or on behalf of, educational agencies or institutions, if these studies are conducted in a manner that will not permit the personal identification of students and if the information will be destroyed when no longer needed for the purpose for which it is conducted;

6. to accrediting organizations in order to carry out their accrediting functions;

7. to comply with a judicial order or lawfully issued subpoena;

8. to appropriate parties in health or safety emergencies; and

9. to parents of dependent IIT students, as defined in Section 152 of the Internal Revenue Code of 1986 as amended.

B. Independent Status of Student

For purposes of this section, all students enrolled in the university shall be deemed to be independent of their parents. Any parent may challenge this assumption by presentation of evidence that such student does qualify as a dependent for federal income tax purposes.
C. Defining School Officials with a Legitimate Educational Interest

School officials shall be deemed to include members of IIT’s faculty and administrative staff who have legitimate educational interests in such records and other personnel whose duties involve establishment and maintenance of such records and development of institutional reports. A “legitimate educational interest” shall be deemed to mean “having a direct involvement in establishing or reviewing a student’s academic record or performance.”

II. Student Access to Records

Students and former students of IIT shall be granted access to all of their personally identifiable educational records originated at IIT or submitted to IIT in connection with their admission, employment, or the granting of financial assistance, with the following exceptions:

A. notes or records of instructors, advisers, or counselors that would not be shown to any other individual except another faculty member, an adviser, or a teaching assistant;

B. for records involving other individuals (e.g., course grade lists), only that portion applicable to the respective student will be disclosed;

C. records or statements supplied by the individuals within or outside IIT and other educational institutions or agencies that have been submitted under the assumption of confidentiality in connection with admission, employment, or the provision of financial assistance, including financial statements provided by parents for purposes of supporting the student’s application for financial aid; letters of recommendation written prior to January 1, 1975; letters of recommendation written after January 1, 1975, for which the student has signed a waiver of the right to inspect the letter; and

D. records of medical or psychological tests or treatment, as to which the student nevertheless has the rights to obtain a professional explanation of information in such records and to request that the records be referred for inspection to another qualified professional of the student’s choice.

III. Obtaining Records and Maintaining Names of Recipients

For records originating at IIT, any person or organization having the right of access to any educational record may obtain a copy of that record at a reasonable fee. In general, IIT will not provide to anyone other than authorized faculty and staff at IIT copies of any items in a student’s educational record that have been submitted by individuals or organizations outside IIT; such copies should be requested from the source from which the record originated. An exception may be made in instances when the student can demonstrate that the original record has been lost, destroyed, or is otherwise unavailable (e.g., a school is no longer in existence, or the death of a person from whom a reference was obtained). A cumulative record of all individuals or organizations, other than the individual student and authorized faculty and staff at IIT, who are granted access to and/or copies of a specific educational record shall be maintained along with that record. Upon request, a student may inspect the cumulative list of all those who have been granted access to his or her educational record.

The right to inspect educational records is not granted to applicants for admission until such time as the applicant may be admitted and has completed registration at IIT.
Students and former students of IIT may make an appointment to inspect individual educational records during regular office hours. For additional information please contact the Office of the Registrar at 3424 S. State Street, 2nd Floor (312.567.3100, registrar@iit.edu).

IV. Student Challenges to the Accuracy of Records

Students have the right to petition to amend educational records and, if this petition is denied, they have the right to request a hearing. Information about written procedures regarding both actions are available in the various student handbooks.

V. IIT’s Maintenance of Directory Information

IIT reserves the right to release at its own discretion the following items of directory information about any student registered for at least one credit hour during the academic year in which such directory information is provided, unless the student shall file with the Office of the Registrar a completed Non-Disclosure of Directory Information FERPA Form requesting the withholding of directory information:

- Name of student
- Date and place of birth
- Dates of attendance at IIT
- Local address, phone number, and e-mail address of student
- Home address and phone number of student
- Positions held, place of employment, and extension number of students employed by IIT
- Department of specialization and educational level (undergraduate; non-degree-seeking student; graduate student in M.S. or Ph.D. program)
- Membership in officially recognized campus organizations and teams; and offices held in such organizations and teams
- Degrees earned; special awards and recognition given
- Photograph of student

Such directory information available from educational records kept by IIT may also be released concerning former students at IIT for the time during which they were registered as students at IIT.

VI. Ethical Responsibilities of Faculty Members with Access to Records

A faculty member who has a legitimate educational interest may obtain access to the educational records of a student. A faculty member should ordinarily limit his or her inquiries to the records of those students for whom he or she is serving as an adviser, or as to whom he or she is required to verify that prerequisites for course enrollment have been satisfied. It is not ordinarily a “legitimate educational interest” to review the grades from other instructors of students enrolled in a faculty member’s classes, or of a student outside the faculty member’s academic unit.
Appendix O
Honorific Title: Distinguished Professor

I. Introduction

The university may award the title of distinguished professor to those full professors who have achieved preeminence in their fields of expertise, based on their scholarly work and the excellence of their teaching. The title is not a separate academic rank; it is awarded as recognition for exceptional achievement.

II. Procedures for Selection of Distinguished Professors

A. Nomination for the designation of a faculty member as a distinguished professor must be made by the dean of each college or school to the Provost during the fall semester of any year.

B. As to each nominee, the Provost and a university committee appointed by the President from members of the faculty holding the title of distinguished professor or named chair shall provide their views and recommendations to the President.

C. The Provost and the university committee shall submit their views and recommendations to the President before the end of the fall semester.

D. The President shall submit his or her recommendation to the Board of Trustees at its first meeting immediately following the fall semester.

III. Selection Criteria

The dean of each college or school shall use the criteria established in that college or school in determining the recommendations to be made to the President. A recommendation shall usually be made after consultation with a selection committee within the college or school.

A. Engineering

An eligible faculty in Armour College of Engineering must demonstrate an outstanding record in scholarship and excellence in teaching well beyond the criteria for promotion to the rank of full professor. In addition, he or she must have demonstrated a record of service to the university well beyond that which is normally expected of a senior professor. Under exceptional circumstances a faculty member who has made internationally recognized contributions in research may be considered on that basis alone.

A college selection committee shall evaluate faculty members for the title of distinguished professor based upon the following criteria:

1. fellow-grade membership in one or more nationally recognized societies (e.g., Institute of Electrical and Electronics Engineering, American Society of Mechanical Engineers, etc.);

2. membership in the National Academy of Science or National Academy of Engineering;

3. the publication of award-winning books or textbooks of such quality that they are regarded as classics in the field;
4. the publication of at least one research paper that is widely recognized as making a major impact on the field;

5. award-winning teaching quality;

6. service to the university in teaching or administration that has had a deep and lasting impact on the IIT community and has gained national prominence for the school; and

7. external awards of recognition for teaching or other professional activities.

A candidate need not meet all of the above criteria, as determined by the college selection committee and the dean.

B. Science

Eligible faculty in the College of Science must demonstrate a record of continued scholarly and teaching excellence well beyond the criteria for promotion to the rank of full professor, while also maintaining a record of service to the IIT community. Because of the diversity of fields within the college, it is not possible to establish a single set of criteria applicable to all faculty. A candidate should, however, meet one or more of the following criteria, as appropriate to his or her field of expertise:

1. a continuous record of distinguished, refereed scholarly publication;

2. receipt of an honorary degree from another university;

3. receipt of a national book award or other recognized award for distinguished scholarship;

4. election as a fellow or diplomate in a professional society or academy; and

5. receipt of a national or international award for distinguished research or teaching.

C. Chicago-Kent College of Law

1. Selection Committee: Prospective distinguished professors initially shall be recommended to the dean of the law school by the Law School Selection Committee, which shall consist of the academic associate deans (associate dean for academic affairs and associate dean for faculty development) and any existing distinguished professors. Such a recommendation shall be accompanied by the resume or vita of the candidate.

2. Nominations: Anyone who is a tenured or tenure-track member of the law faculty may submit nominees for consideration by the Selection Committee.

3. Scholarship: Any candidate must excel at all areas of being a professor and must contribute significantly to the life of the law school. In particular, the candidate must have an outstanding national or international reputation for scholarship. The scholarship must have significantly advanced the development of the law or an understanding of the law and must be widely used in the practical or intellectual legal communities. The scholarship must be equal to the highest quality of scholarship existing at the college of law.
4. Productivity: The candidate must have a very substantial body of published work. Ordinarily, candidates must have at least 20 publications overall and at least half that number of publications must have appeared since promotion to full professor. Meeting this normal minimum standard of quantity should convey no expectation of qualification for a distinguished professorship.

5. Eligibility after Freehling Scholarship: Any candidate for a distinguished professorship who might also be a candidate for a Freehling Scholarship ordinarily should serve a full term as a Freehling Scholar before being eligible to serve as a distinguished professor.

6. Public Lecture: Upon appointment, it is expected that the distinguished professor will deliver a public lecture to the entire law school community.

7. Requirements Waivable: Any of the above requirements may be waived in appropriate situations, revised, or abolished by the agreement of both the selection committee and the dean.

D. College of Architecture

The College of Architecture seeks to recognize teachers of outstanding ability and performance by recommending the awarding of the title “distinguished professor.” Faculty members shall be evaluated based on several areas of recognized performance:

1. architectural practice: recognition in the community and profession, national or international;
2. teaching ability: inspiring students to learn and work;
3. research/writing: production of outstanding studies within the college, or writing of at least national prominence; and
4. lectures/exhibitions: outstanding record on the national level.

Nominations for the awarding of this honor must be initiated from within the college and made to the dean.

E. Graduate School of Design/Institute of Design

An eligible faculty member in the Institute of Design (ID) must demonstrate a record of continued scholarly and teaching excellence well beyond the criteria for promotion to the rank of full professor, while also maintaining a record of service to the IIT community. Because of the diversity of fields within ID, it is not possible to establish a single set of criteria applicable to all faculty. Candidates should, however, meet one or more of the following criteria, as appropriate to their fields of expertise:

1. a continuous record of distinguished contributions either by editing and/or writing for professional or scholarly publications;
2. election as a fellow in a professional society;
3. receipt of a national or international award for distinguished research, teaching, or professional work; and
4. a continuous record of their students winning major awards and/or having their work included in professional publications.

F. College of Human Science

The IIT faculty resolution for awarding the title “distinguished professor” requires the recipient to be a full professor who has achieved national or international preeminence in his/her field of expertise, based on scholarly work and teaching excellence.

Eligible faculty in the College of Human Science must demonstrate a record of continued scholarly and teaching excellence well beyond the criteria for promotion to the rank of full professor, while also maintaining a record of service within the IIT community. Because of the diversity of areas within the College, it is not possible to establish a single set of criteria applicable to all faculty. Candidates should, however, meet one or more of the following criteria, as appropriate to their areas of expertise:

1. a continuous record of distinguished, refereed scholarly publication;

2. receipt of an honorary degree from another university;

3. election as a fellow or diplomate in a professional society or academy that is recognized within the faculty member’s discipline or an allied discipline; and

4. receipt of a national or international award for distinguished scholarship or teaching.

G. Stuart School of Business

A full professor may be awarded the title of distinguished professor based on extraordinary scholarship and excellence in teaching. The scholarly contributions must have been published (e.g., a book or set of articles) and have had a significant impact on the faculty member’s field of expertise. The measures of significant impact shall include, but not be limited to: (1) the number of subsequent citations, (2) an (inter)national conference in which the faculty member’s ideas are prominently discussed (e.g., plenary session), and/or (3) significant changes in business practices that are traceable to the faculty member’s contributions.

H. School of Applied Technology

An eligible faculty in the School of Applied Technology must demonstrate an outstanding record in scholarship and teaching excellence well beyond the criteria for promotion to the rank of full professor. In addition, he or she must have demonstrated a record of service within the IIT community. A college selection committee shall evaluate faculty members for the title of distinguished professor if they have demonstrated national prominence, produced impactful contributions to their field, and brought distinction to IIT.
Appendix P
Process for Changes in Policy, Procedure, and Curriculum, and for Elimination of Degrees and Programs

I. Introduction

The following procedures outline steps to be followed in proposing (a) new or revised policies and procedures for the Faculty Handbook, (b) curriculum changes, and (c) degree or program eliminations. It is intended that all members of the faculty will be informed of any proposed change and that anyone who would be affected by the change will have an opportunity to comment on the proposal before it is presented to the Board of Trustees for approval.

II. Policy or Procedure Change

A. Initiation of Proposals

Proposals for new or revised procedures for the Faculty Handbook can be initiated either by a faculty member or by the administration. Any proposed new or revised policy or procedure submitted under this process must include with the proposal a written explanation of, and/or justification for, the proposal. The point of contact between the faculty and the administration is a communication between the Chair of the University Faculty Council (UFC) and the President. The President and the Chair of the UFC may initiate a proposal jointly.

B. Proposals from the Faculty

1. Who May Submit a Proposal

Any member of the faculty may propose a change in policy or procedure by submitting a proposal, in writing, to the Chair of the UFC.

2. Initial Determination as to the Merits of a Proposal

The UFC shall consider proposals submitted by faculty members. If possible, the UFC initially shall make a determination as to whether the proposal appears to be meritorious. If the UFC is able to determine that the proposal clearly is without merit, no further action shall ensue. The Chair of the UFC shall inform the faculty member who submitted the proposal of such disposition of the proposal.

If the UFC is unable to determine that the proposal clearly is without merit, or if the UFC determines that the proposal appears to be meritorious, the UFC next shall determine whether the proposal entails a major or a minor change in procedure or policy. Depending upon which determination is made, the following procedures shall ensue.
3. Proposals Entailing Minor Change

If the UFC determines, in accordance with subsection II.B.2. above, that a faculty member’s proposal entails a minor change, the UFC shall solicit comments from the academic units. Following receipt of such comments the UFC shall consider the proposal and the comments received. If the UFC votes to support the proposal in its original or modified version, the Chair of the UFC shall transmit the proposal as adopted to the President, along with any supporting and/or explanatory materials it deems appropriate. The Chair shall do so within 90 days of the vote.

4. Proposals Entailing Major Changes

If the UFC determines, in accordance with subsection II.B.2. above, that a faculty member’s proposal entails a major change, the UFC shall solicit comments from the academic units relevant to the proposal and present the proposal for discussion at a regular or special faculty meeting. After receiving comments from the academic units and from the Faculty meeting, the UFC shall consider the original proposal, and any proposed modified form of the proposal, in light of the comments. If the UFC approves the proposal, either in its original or in a modified form, by a vote of no less than one-half of the entire voting membership of the UFC, the UFC shall distribute to each eligible voting Faculty member a copy of the proposed change along with any supporting documentation. Upon request of at least 10 eligible Faculty voters, the UFC shall withhold transmitting approval of the proposal until the proposal has been put before the full Faculty for a vote at a regular or special meeting of the Faculty. If the UFC has not received such a request from at least 10 eligible Faculty voters within 30 days following distribution of the proposal, then the chair of the UFC shall transmit the approved proposal to the President.

5. President’s Action

Upon receipt of a proposal pursuant to subsection II.B.3. or II.B.4. above, the President shall distribute it to the university’s academic leadership for comment. The President shall respond to the transmitter of the proposal (i.e., either the UFC or the Faculty) within 90 days of its receipt, unless he or she secures agreement that an extension of time is necessary and appropriate. If the President’s position is different from that of the UFC or the Faculty (depending upon which entity transmitted the proposal to him or her), efforts shall be made to reconcile the positions. If, as a result of such efforts, there are substantial revisions to the proposal, those revisions shall be circulated and considered in the same way that the original proposal was considered.

6. Involvement of Board of Trustees

If there is agreement between the UFC and the President, or the Faculty and the President (as the case may be) on the final form of the proposal and the President determines that it is not a matter requiring Board approval, the new policy or procedure shall be published and implemented without action by the Board. Otherwise, the President shall take the final proposal to the Board of Trustees or its Executive committee for action. The President shall report to the Board or its Executive Committee the position of the UFC or the Faculty (depending upon which entity transmitted the proposal to him or her) on the proposal.
C. Proposals from the President

1. UFC and Academic Unit Consideration of Minor Changes

A proposal for a change in policy or procedure made by the administration shall be transmitted by the President to the Chair of the UFC. The Chair in turn shall transmit the proposal, along with such comments as the UFC deems appropriate, to the academic units. Each academic unit shall discuss the proposal (and comments) transmitted to it and shall submit its comments to the UFC. As an initial matter, the UFC then shall determine whether the proposal entails a minor change. If the UFC so determines, it shall consider the proposal on the merits, in light of the comments submitted by the academic units. If the UFC votes to support the proposal in its original or in a modified form, it shall transmit the proposal as adopted to the President, along with any comments and supporting and/or explanatory materials it deems relevant. Such submission to the President shall be made within 90 days of receipt of the proposal unless there is agreement between the President and the Chair of the UFC that an extension of time is necessary and appropriate.

2. Submission to the Faculty of Proposals Entailing Major Changes

If, upon receipt of a proposal from the President, or at any time thereafter during the course of the proposal’s consideration by the UFC and/or the academic units in accordance with subsection II.C.1. above, the UFC determines that the proposal entails a major change, the UFC shall solicit comments from the academic units relevant to the proposal and present the proposal for discussion at a regular or special Faculty meeting. After receiving comments from the academic units and from the Faculty meeting, the UFC shall consider the original proposal, and any proposed modified form of the proposal, in light of the comments. If the UFC approves the proposal, either in its original or in a modified form, by a vote of no less than one-half of the entire voting membership of the UFC, the UFC shall distribute to each eligible voting Faculty member a copy of the proposed change along with any supporting documentation. Upon request of at least 10 eligible Faculty voters, the UFC shall withhold transmitting approval of the proposal until the proposal has been put before the full Faculty for a vote at a regular or special meeting of the Faculty. Upon submission of the proposal to the Faculty, the UFC shall cease to have jurisdiction as to the matter. If the UFC has not received such a request from at least 10 eligible Faculty voters within 30 days following distribution of the proposal, then the Chair of the UFC shall transmit the approved proposal to the President.

3. Reconciliation of Differences

If the President’s position as to the proposal submitted by him or her differs from the position of the UFC or, in the instance of proposals considered by the Faculty, is different from the position of the Faculty, efforts shall be made to reconcile the parties’ positions. After such efforts have concluded, and if there are substantial revisions to the proposal, these revisions shall be circulated and considered in the same way that the original proposal was considered.

4. Submission of the Proposal to the Academic Leadership

The President also shall transmit the administration proposal to the members of the academic leadership for comment. The academic leadership members shall submit their comments to the President within 90 days of the date of its submission to them.
5. Involvement of the Board of Trustees

If there is agreement between the UFC and the President, or the Faculty and the President (as the case may be) on the final form of the proposal and the President determines that it is not a matter requiring approval by the Board of Trustees, the new policy or procedure shall be published and implemented without action by the Board. Otherwise, the President shall take the final proposal to the Board of Trustees or its Executive Committee for action. The President shall report to the Board or the Executive Committee the position of the UFC or of the Faculty, as the case may be, on the proposal.

D. Appointment of Special Committee

1. At any point in the foregoing processes the UFC or the President may determine that there would be benefit in referring the matter to a committee for consideration, the Chair of the UFC, the President, or the President and the Chair of the UFC jointly, may appoint a committee to develop or review a proposal and provide such recommendation.

III. Curriculum Change

A. Definition of “Curriculum Change”

“Curriculum change” means a new degree program or a significant change to an existing degree program. Thus, for example, matters such as the increase or decrease in credit of a given course ordinarily would not be considered a “curriculum change” within the meaning of this Section III.

B. Proposed Curriculum Changes

Curriculum changes ordinarily are proposed within an academic unit. However, the President, the Provost or the dean of a college or school may propose a change, as well. In addition, changes may be proposed by the Undergraduate Studies Committee and the Graduate Studies Committee.

C. Notice to Proposing Party of Rejection of a Proposed Curriculum Change

If a proposed change fails at any level of its consideration, as addressed below, the proposal and a statement of the reasons for the rejection shall be forwarded to the proposing party and shall be attached to the minutes, if any, of the body that took such action. Rejection of a proposal shall not preclude its resubmission at any time, with or without change.

D. Proposals Regarding Undergraduate Programs

1. Submissions to, and Recommendations by, the Undergraduate Studies Committee

The party making a proposal for a curriculum change shall submit the proposal to the Undergraduate Studies Committee (unless it is the Committee itself that is initiating the proposal). After considering a proposal (either submitted to it or generated by the Committee itself), the Committee shall make a recommendation as to its adoption or rejection, in its original or modified form, to the UFC. The Committee shall provide in writing an explanation for its recommendation.
2. Action by the University Faculty Council

Upon receipt of a recommendation by the Undergraduate Studies Committee, the UFC may solicit comments from the academic units relevant to the proposal, both in its original form and in such modified form as the Committee may have recommended. After receiving such comments the UFC shall consider the original proposal (and any proposed modified form of the proposal) in light of the recommendation(s) of the Undergraduate Studies Committee, the comments of the academic units, and any other relevant information. If the UFC approves the proposal, either in its original or in a modified form, it shall refer the proposal as adopted by the UFC to the Faculty.

3. Action by the Faculty

Upon approval by the UFC of a proposed curriculum change, the UFC shall distribute to each eligible voting faculty member a copy of the proposed change along with any supporting documentation. Upon request of at least 10 eligible voters the UFC shall withhold transmitting approval of the curriculum change until the proposal has been put before the full faculty for a vote at a regular or special meeting of the faculty. If the UFC has not received such a request from at least 10 eligible voters within 30 days following distribution of the proposed curriculum change, then the UFC shall transmit the approved proposal to the President.

4. Involvement of Deans and the Provost

At the time the proposing party submits a proposal to the Undergraduate Studies Committee, or the Committee itself generates a proposal, the party or Committee (as the case may be) also shall submit the proposal to the dean(s) of the college or school as to which the proposal applies, as well as to the Provost. The dean shall submit his or her recommendation(s) to the Provost. The Provost subsequently shall submit his or her recommendation(s) to the President, and in so doing shall report the recommendation(s) received from the dean.

5. Action by the President

If the President concurs with the proposed curriculum change as transmitted to her or him by the Faculty, she or he shall submit it, in conjunction with his or her own recommendation, to the Board of Trustees, or its Executive Committee, for action. If the President does not concur in the proposed curriculum change, efforts shall be made to reconcile the parties’ positions. If such reconciliation efforts succeed in producing an agreement on a proposal, that proposal—if it does not substantially differ from the proposal approved by the Faculty—shall be submitted to the Board of Trustees, or its Executive Committee, for action. If the reconciliation efforts succeed in producing an agreement as to a proposal, but that proposal substantially differs from the proposal approved by the Faculty, this modified proposal shall be considered in the same manner as the original proposal was addressed.

6. Changes to General Education Requirements

Changes to the definition of the General Education Requirement, or designation of courses used to satisfy the General Education Requirement shall be reported to the Undergraduate Studies Committee. Approval of all changes to the definition of the General Education Requirement shall follow the procedures as described in III/D/1,2,3,4,5.
E. Proposals Regarding Graduate Programs

1. Submissions to, and Recommendations by, the Graduate Studies Committee

The party making a proposal for a curriculum change shall submit the proposal to the Graduate Studies Committee (unless it is the Committee itself that is initiating the proposal). After considering the proposal (either submitted to it or generated by the Committee itself), the Committee shall make a recommendation as to its adoption or rejection, in its original or modified form, to the UFC. The Committee shall provide in writing an explanation for its recommendation.

2. Action by the University Faculty Council

Upon receipt of a recommendation by the Graduate Studies Committee, the UFC may solicit comments from the academic units relevant to the proposal, both in its original form and in such modified form as the Committee may have recommended. After receiving such comments, the UFC shall consider the original proposal (and any proposed modified form of the proposal) in light of the recommendation(s) of the Graduate Studies Committee, the comments of the academic units, and any other relevant information. If the UFC approves the proposal, either in its original or in a modified form, it shall refer the proposal as adopted by the UFC to the Faculty.

3. Action by the Faculty

Upon approval by the UFC of a proposed curriculum change, the UFC shall distribute to each eligible voting faculty member a copy of the proposed change along with any supporting documentation. Upon request of at least 10 eligible voters the UFC shall withhold transmitting approval of the curriculum change until the proposal has been put before the full faculty for a vote at a regular or special meeting of the faculty. If the UFC has not received such a request from at least 10 eligible voters within 30 days following distribution of the proposed curriculum change, then the UFC shall transmit the approved proposal to the President.

4. Involvement of Deans and the Provost

At the time the proposing party submits a proposal to the Graduate Studies Committee or the Committee itself generates a proposal, the party or the Committee (as the case may be) also shall submit the proposal to the dean of the college or school as to which the proposal applies, as well as to the Provost. The dean shall submit his or her recommendation(s) to the Provost. The Provost subsequently shall submit a recommendation to the President, and in so doing shall report the recommendation(s) received from the dean.

5. Action by the President

If the President concurs with the proposed curriculum change as transmitted to him or her by the Faculty, he or she shall submit it, in conjunction with his or her own recommendation(s), to the Board of Trustees, or its Executive Committee, for action. If the President does not concur in the proposed curriculum change, efforts shall be made to reconcile the parties’ positions. If such reconciliation efforts succeed in producing an agreement on a proposal, that proposal, if it does not substantially differ from the proposal approved by the Faculty, shall be submitted to the Board of Trustees, or its Executive Committee, for action. If the reconciliation efforts succeed in producing an agreement as to a proposal, but that proposal substantially differs from the proposal approved by the
Faculty, this modified proposal shall be considered in the same manner as the original proposal was addressed.

IV. Degree or Program Elimination

A proposal for degree or program elimination can be initiated either by an academic unit or by the administration. While the final decision rests with the Board of Trustees, it is important that all affected units have an opportunity to comment on the proposal.

A. Proposal from Academic Unit

1. Initiation of Proposal

A proposal to eliminate a degree or program initiated by an academic unit shall be submitted to the dean, in the case of a college with departments, or to the Provost. If it comes from a department in a college with departments, the dean shall review the proposal and transmit it with a recommendation to the Provost. The Provost then will transmit the proposal, with his or her recommendation, to the President.

2. Referral of the Proposal by the President

The President shall transmit the proposal to the University Faculty Council (UFC) and to the academic leadership for comment. The academic leadership shall give comments on the proposal to the President.

3. Action by the University Faculty Council

Upon receipt of a proposal from the President, the UFC shall solicit comments from academic units other than the one initiating the proposal, as well as from the Undergraduate and/or Graduate Studies Committee(s), as appropriate. After receiving such comments, the UFC shall consider the original proposal and any other relevant information. If the UFC approves the proposal, either in its original or in a modified form, it shall refer the proposal as adopted by the UFC to the Faculty.

4. Action by the Faculty

Upon receipt by the UFC of a proposed elimination of a degree or program, the Faculty shall consider the proposal at the next possible faculty meeting. If the Faculty approves such change, either as presented to it or in modified form, it shall transmit the approved proposal to the President. If it disapproves the proposal, it shall so inform the President.

5. Action by the President

The President shall review the recommendations received from the UFC and the academic leadership, as well as the action of the Faculty. If the President concurs with the proposed change as transmitted to him by the Faculty, he or she shall submit it, in conjunction with his or her own recommendation, to the Board of Trustees, or its Executive Committee, for action. If the President does not concur in the proposed change, he or she shall so report that fact to the Chair of the UFC, and efforts shall be made to reconcile the parties' positions. If such reconciliation efforts succeed in producing an agreement on a proposal, that proposal, if it does not substantially differ from the
If the reconciliation efforts succeed in producing an agreement as to a proposal, but that proposal substantially differs from the proposal approved by the Faculty, this modified proposal shall be considered in the same manner as the original proposal was addressed.

B. Proposal from the President

1. Submission of the Proposal for Comment

If the President proposes that an academic degree or program should be eliminated, he or she shall refer such proposal to the Provost. The Provost in turn shall refer the proposal to the dean and/or academic unit head responsible for the degree or program for comment. After the President receives such comment, and if he or she decides to go forward with the proposal, he or she then shall refer the proposal to the UFC.

2. Action by the University Faculty Council

Upon receipt of a proposal from the President, the UFC shall solicit comments from the academic units, as well as from the Undergraduate and/or Graduate Studies Committees(s), as appropriate. After receiving such comments, the UFC shall refer the proposal and the comments received to the Faculty for consideration.

3. Action by the Faculty

Upon receipt by the Faculty of a proposal to eliminate a degree or program, the Faculty shall consider the proposal at the next possible faculty meeting. If the Faculty approves such proposal, either as presented to it or in modified form, it shall transmit the approved proposal to the President. If it disapproves the proposal, it shall so inform the President.

4. Involvement of the Academic Leadership

The President shall refer the proposal to the academic leadership for comment. The members of the academic leadership shall submit their comments to the President.

5. Action by the President

The President shall review the recommendations received from the Faculty and the academic leadership. He or she shall refer the matter, with the recommendations received and with his or her own recommendation, to the Board of Trustees, or its Executive Committee, for action.
Appendix Q
Policies and Procedures Relating
to Non-Tenure Track Ranks

I. Overview

All full-time faculty positions fall into one of four categories. Ranks within each of those categories are defined in the body of the Faculty Handbook. Category I appointments are tenure and tenure-track. Procedures for review and renewal for these ranks are set out in Appendix C of this Faculty Handbook and rights relating to voting at faculty meetings are set out in Appendices A and B. Category II appointments are long-term non-tenured positions; Category III appointments are short-term non-tenured positions; and Category IV appointments are special status appointments made by the President. Policies and procedures relating to ranks in these latter three categories are described below.

II. Standards

Each academic unit shall publish standards for appointment and retention for each rank, consistent with the definition of that rank, in this Faculty Handbook and in this Appendix Q. These standards should distinguish the rank from the Category I ranks and should not simply be a means to avoid appointments in Category I ranks.

III. Review

A. Category II Appointments

Each academic unit must adopt and publish a process for renewal review. The review will be done by an Academic Unit Committee on Appointments and Retention (AUCAR), with tenured faculty forming a majority of voting members. Published standards for renewal should be distributed to faculty members with Category II appointments in sufficient time to prepare for a review. There must be an AUCAR review prior to any commitment to renew a Category II appointment. Renewal is at the discretion of the academic unit head and the Provost.

B. Category III Appointments

Although the academic unit head may request a review for appointment or renewal from the AUCAR, there is no formal requirement for action by the AUCAR. Renewal is at the discretion of the academic unit head and the Provost.

C. Category IV Appointments

When the first appointment is made, the University Committee on Promotion and Tenure (UCOPT) shall review the candidate and consult with the appropriate academic unit committee on promotion and tenure (AUCOPT). The UCOPT shall make a recommendation to the President regarding the proposed appointment. No further review is required.
IV. Voting Rights

Voting rights in faculty committees and in matters of joint governance within an academic unit shall be determined by the tenured and tenure-track faculty in that unit. Voting rights on university faculty matters, including the right to serve on the University Faculty Council (UFC), shall be determined by the regular voting members of the faculty at a meeting of the university faculty. Only faculty members with Category I appointments shall be members of the University Faculty Senate. Only faculty members with Category I appointments may serve on the UFC.

V. Caps

A. Introduction

There shall be a cap on the percentage of Category II and Category III faculty in each unit. These caps are specified below. It is recognized that some academic units may not be in compliance with those caps on the effective date of this Appendix. A unit not in compliance with the cap should prepare a transition plan specifying a date by which the unit anticipates it will be in compliance.

B. Category II

Absent unusual circumstances, each academic unit should keep the ratio of Category II faculty to Category I faculty under 50 percent. Therefore, Category II faculty should comprise no more than one-third of the total number of Category I and Category II faculty.

C. Category III

Absent unusual circumstances, each academic unit should keep the ratio of Category III faculty to Category I faculty under 34 percent. Therefore, Category III faculty should comprise no more than one-fourth of the total number of Category I and Category II faculty.

VI. Appointments Funded with “Soft” Money

Faculty members whose salaries are funded primarily from sources outside the university may have their appointments terminated if the outside funding is no longer available. Such terminations shall not be considered inconsistent with the guidelines set forth in this policy or in the definitions of the ranks described in this Faculty Handbook.

VII. Additional Ranks

Titles of ranks for Category II, III, and IV positions are specified in this Faculty Handbook. Other titles may be added to any of these categories with the approvals of the President and the UFC.
Appendix R
Standards for Extending the Probationary Period of Tenure-Track Faculty

I. Overview

It is in the best interest of IIT to promote and to tenure faculty of the highest quality in ways that are fair and humane. To ensure fairness and equity in administering the system of academic tenure, IIT must provide consistent conditions and standards. For these reasons, extensions of the probationary period are reserved for unusual and compelling circumstances. IIT’s ability to attract and retain a faculty of the highest quality is enhanced by supporting faculty members in balancing personal and family obligations with professional and scholarly achievement.

Under the Standards and Procedures for Promotion and Tenure the maximum probationary period before the awarding of tenure is seven years. (IIT Faculty Handbook, Appendix C, Section 3.) This policy sets forth the conditions and procedures for extending the probationary period where compelling circumstances have arisen that interfere substantially with a candidate’s ability to pursue his or her teaching, scholarly activities, and/or service.

The Faculty Family Policy, included in the Supplement to the Faculty Handbook, provides that eligible faculty members are entitled to a one-semester paid leave following the birth or adoption of a child. Under that policy, non-tenured faculty members eligible for the leave are entitled to an extension of their probationary periods, whether or not they elect to take the leave.

II. Conditions

A. Length and Frequency of Extension of Probationary Period

An extension of the probationary period may be granted for one year upon request when a compelling event or compelling circumstance causes substantial impairment of a candidate’s ability to pursue his or her teaching, scholarly activities, and/or service. No more than two such extensions will be granted. Such extensions of the tenure period may be granted independent of a faculty member taking a leave of absence (as defined in Section VII of this Faculty Handbook). Such leaves of absence also may extend the probationary period.

B. Grounds for an Extension

There are four grounds for granting an extension: (1) the birth or adoption of a child (in addition to the rights conferred under the Faculty Family Policy); (2) disability or extended and severe personal illness; (3) compelling obligations to a member of the family or household that require significant time away from university duties; and (4) other extraordinary circumstances beyond the control of the faculty member.
C. Candidate’s Eligibility

The candidate’s record before the event or circumstance that gives rise to a request for a leave of absence must be consistent with the preservation of institutional quality. Thus, the candidate must be making appropriate, demonstrable progress toward attaining tenure.

III. Timing of Request

An extension of the probationary period should be requested when it becomes clear that circumstances consistent with this policy will substantially impede the faculty member’s progress toward achieving tenure. A request during the last year of probation of a faculty member is strongly discouraged and will be granted only in rare and extraordinary circumstances.

An academic unit head who recognizes the need for a faculty member to request an extension of the probationary period is encouraged to discuss this policy with that individual and to do so in a timely manner. A faculty member should feel free to approach his or her academic unit head for information concerning this policy or with an individual request for an extension.

IV. Procedure for Request

The request for an extension of the probationary period must be initiated in writing by the faculty member and addressed to the head of his or her academic unit. The request must clearly state the special circumstances in the faculty member’s situation that might justify an extended probationary period. The faculty member should attach any appropriate supporting documentation. The request also must state explicitly that the faculty member making the request understands that he or she will not enjoy an entitlement or stronger claim to tenure by virtue of continued membership on the faculty beyond the customary probationary period.

V. Approval of Request

In order to move forward the request must be approved by the academic unit head after consultation with, and approval by, the academic unit committee on tenure and promotion. If the academic unit head is a dean, the request - if approved - shall be forwarded to the Provost. If the academic unit head is a department chair, the request if approved shall be forwarded first to the dean and subsequently, if approved by the dean, to the Provost.

Upon approval of the request by the Provost, a special written agreement outlining the terms and conditions will be prepared. The agreement shall specify the reasons for the extension and shall clearly state the faculty member’s new tenure period. The written agreement shall be circulated to obtain the signature of the faculty member and the signatures of the campus and university officials required for such agreements.
Appendix S

Authorship

I. General Overview and Background

The Commission on Research Integrity, established by Section 162 of Public Law 103-43, stated in its final report, entitled Integrity and Misconduct in Research (1995), under the heading of “Authorship”:

“The Commission heard many examples of the conflicts that can and do arise as a result of disputes over authorship. Such conflicts can generally be avoided if researchers have early and frequent discussions on the allocation of authorship and intellectual property. Those conflicts that do arise can be handled more effectively if institutions have a mechanism in place.” (Pages 26-27.)

The term “authorship” as commonly used has varying definitions among the disciplines represented at IIT. After substantial review and consideration by the faculty, it has been determined that an appropriate working definition of “authorship” at IIT is:

**The author of a work is a creator or originator of an original literary (including scientific and scholarly), mathematical (including computer programming), musical, dramatic, choreographic, pictorial, graphic, sculptural, audiovisual, architectural, or mask work. It is recognized that this list is by no means exhaustive in the definition of possible areas of “authorship.”**

II. Authorship Guidelines per Discipline

The definition of who is an author (a creator of a work), including co-authors, varies between fields. Although the Office of Research Integrity (ORI) provides guidelines for authorship and practice, which may be viewed at [http://ori.hhs.gov/Chapter-9-Authorship-and-Publication-Introduction](http://ori.hhs.gov/Chapter-9-Authorship-and-Publication-Introduction), these are generally oriented towards science and engineering disciplines. Even within different science and engineering fields, there exist different forms of common practice regarding authorship, which, in a dispute of authorship, would likely require representatives from that field to aid in the review of the dispute. The listings below reference bases for the current common practice per IIT discipline, as of March 16, 2014, concerning authorship (creator of work) considerations; however, to the extent any such referred to basis is modified or updated, it is expressly understood that such modified or updated version will automatically become the new basis.

**Science and Engineering (including Food Science and Nutrition):**

In addition to the aforementioned ORI guidelines, the National Science Foundation’s regulations on research misconduct, (45 C.F.R. §§ 689.1 – 689.10), the National Academy of Sciences’ (NAS) publication, On Being a Scientist, which includes the field of medicine and addresses misconduct proceedings, [http://www.nap.edu/openbook.php?record_id=4917&page=R2](http://www.nap.edu/openbook.php?record_id=4917&page=R2).

**Mathematics**

Behavioral and Social Sciences (with reference also to NAS and ORI)

American Psychological Association. Ethical Principles of Psychologists and Code of Conduct
http://www.apa.org/ethics/code

A Guide to Professional Ethics in Political Science,

Code of Ethics and Policies and Procedures of the American Sociological Association (ASA)
Committee on Professional Ethics, http://www.asanet.org/about/ethics.cfm.

Architecture and the Visual Arts
American Institute of Architects:
Code of Ethics and Bylaws, http://www.aia.org/about/ethicsandbylaws/index.htm#P5_3869;
and

College Art Association:

Humanities, Business and Law

The humanities represent several fields, for instance some political and social science principles may apply (see above); the following resources may also apply:

The Research Journal of English Language and Literature (RJELAL) - Code of Ethics,

Plagiarism in Colleges in USA - Dr. R. Standler, which includes useful legal brief with case histories of authorship disputes of faculty, students, professionals and lawyers,

Design

Outside of copyright and intellectual property laws, there is no core set of independent, formal or guiding principles routinely used in the design field to define authorship, creatorship or attribution. That said, design has common practices that, while not well-documented, are in evidence across journals, entry standards for competitions, and acceptance to peer-reviewed conferences. These include:

AIGA Guide to Copyright:

IDSA Code of Ethics:
http://www.idsa.org/content/content1/code-ethics.

MIT Press Journals:
http://www.mitpressjournals.org/page/copyright/overview.

Further, and perhaps because it is a multidisciplinary field that is predicated on collaboration and team-driven processes, it is both common practice and an expectation in design to credit
all collaborators on a project. As a result, anyone who has made a direct and significant intellectual contribution to a work is typically accorded co-author status. The Institute of Design outlines such guidelines to students in their handbook. Additionally, because it is common for design work to be published in the journals of other disciplines, design institutions by default must adhere to standards set by partner fields, such as those of the Association for Computing Machinery’s (ACM) Special Interest Group on Computer-Human Interaction (SIGCHI).

ACM Code of Ethics and Professional Conduct:
http://www.acm.org/about/code-of-ethics/#CONTENTS.

III. Author Attribution

Failure to attribute, consistent with a discipline’s relevant standards, guidelines and practices, an author may breach academic integrity, and it could possibly constitute research misconduct depending on the specific discipline and the particular facts and circumstances. When an apparent failure to attribute an author has occurred, the parties should first attempt to reconcile confidentially.

In the event such private attempt at reconciliation fails, a member of the IIT community (faculty, student or staff) who feels that he or she has not been attributed his or her rightful authorship by another faculty member, student or staff member of IIT may elect to pursue mediation as outlined below and/or one of the other two processes available under the Faculty Handbook.

A. Mediation

1. A faculty member should inform the respective unit head/s or deans and attempt to reconcile confidentially with the mediation of one or more of these academic administrators with the accused. The parties should agree as to which administrators are involved with the mediation.

2. A faculty member who can reasonably demonstrate to the Provost that a conflict of interest may exist for either the department head or the Dean to conduct the mediation may ask the Provost to confidentially mediate the dispute.

3. A faculty member who can reasonably demonstrate to the UFC that a conflict of interest may also exist for the Provost to conduct the mediation may ask the UFC to oversee mediation of the dispute. In the event that a mediation request relating to authorship is to be handled by the UFC, the UFC will appoint a committee of faculty members, each without conflict of interests, that is well represented by the discipline (or field, such as Biology or Physics rather than simply science) of the disputed work will convene, to confidentially mediate the dispute.

B. Post-Mediation Options

In the event that mediation is unsuccessful,

1. A faculty member may file an academic grievance in accordance with the procedures set forth in Appendix I of the Faculty Handbook; or

2. A faculty member may file an allegation of research misconduct in accordance with the procedures set forth in Appendix L of the Faculty Handbook.¹

¹ Under certain circumstances, an authorship dispute could constitute “research misconduct” as such term is defined in Appendix L. Though a claim of research misconduct predicated on an authorship dispute would be subject to and handled in accordance with the provisions of Appendix L, in such a situation, the provisions of this Appendix S may be relevant to the investigation and resolution of the matter. Accordingly, after the review, inquiry and/or investigation appropriate to the particular situation, it is acknowledged that with respect to an authorship dispute the following outcomes are possible: (a) a finding that no further action is warranted; (b) a finding that an ethical violation, such as denial of authorship, may have occurred but the facts do not support a determination that possible research misconduct may have occurred; (c) a finding that the facts are sufficient to support a determination that plagiarism and/ or misappropriation may have occurred, thereby warranting further investigation into whether research misconduct has occurred; and (d) a finding that plagiarism and/or misappropriation has occurred sufficient to constitute research misconduct.
IV. Student Theses

Student theses are a special case of authorship, and how the issue of authorship relates to a student and his or her supervisor depends greatly upon the field in question. (See guidelines listed above). As a general matter, there should be continuing discussion between supervisor and student so that all parties understand the discipline norms. It is the responsibility of both the student and his or her supervisor to prepare a cover page or foreword that describes (a) the discipline norm between supervisor and student and (b) any agreements as to authorship, if any, and to submit such cover sheet or foreword with the student thesis so as to clarify future authorship.

Concerning the possible claim that the copyright of a student to his or her thesis may allow him or her to claim sole authorship to all works presented therein, or that a supervisor’s supervision automatically grants the supervisor authorship rights, the following provisions shall guide:

1. A student’s thesis should be an original work entitled to copyright as the work in the thesis should be substantially that of the student; however, the thesis may (i) contain not yet separately published work jointly authored with their supervisor (and possibly other parties), inventions or other intellectual property (see Appendix K), or (ii) describe the student’s sole work, or (iii) be related to no other unpublished work or inventions except for the citation of other published work and patented inventions.

2. In the case that the thesis contains joint work, this should be clearly indicated in the thesis, either at each instance it occurs or by a statement that clearly indicates that some of the work was joint work with a supervisor, a research team or others. It is the responsibility of the student to avoid plagiarism, and the student should not be allowed to claim the work of others as their work in a thesis. It is the responsibility of those signing a thesis to attest to the fact that they are not aware of any plagiarism within the thesis. It is the duty of the examining committee to decide if the work in a thesis is substantially that of the student.

3. If the above recommendations are followed, while authorship may neither be affirmed nor negated by an advisor’s signature on a thesis or research project examination certification, the chances of an authorship dispute should be significantly reduced and the resolution of authorship disputes should be clearer. Copyright and inventorship are defined by U.S. law, and authorship issues are to be decided with reference to this Appendix and the guidance documents referred herein.
Supplement to the Illinois Institute of Technology Faculty Handbook

This Supplement is included with the Faculty Handbook for convenience, and it contains policies which do not require faculty approval. It is a compilation of administrative polices that apply to IIT faculty members, staff and students. The policies contained in this Supplement do not include all such administrative policies; rather, they include those likely to be of particular relevance or interest to faculty members.

The policies included are listed below. Please note all of these policies are on-line. Although the General Counsel’s Office will make every effort to ensure that this Supplement is updated to reflect any changes, users should check the on-line version of policies to verify they are looking at the most current version at https://web.iit.edu/general-counsel/faculty-handbook.

I. Student Policies
   A. Academic Honesty Policy  
      https://web.iit.edu/student-affairs/handbook/fine-print/code-academic-honesty
   B. Student Code of Conduct  
      https://web.iit.edu/student-affairs/handbook/fine-print/conduct-disciplinee
   C. Policy on Varsity Athletics

II. Faculty Benefit Policies
   A. Faculty Family Policy
   B. Third Month Summer Salary from Federally Funded Grants
   C. Procedures for Implementation of Summer Salary Policy
   D. Tuition Remission Taxation Policy

III. Selected Items from the Policies and Procedures Handbook
      https://web.iit.edu/general-counsel/resources/policies-and-procedures
      A. Reservations and Use of University Facilities on the IIT Main Campus
      B. Reservations and Use of IIT Facilities at the Downtown Campus
      C. Insurance Claims Filing Procedure
      D. Equipment Losses
      E. Safety, Identification, Classification and Handling of Hazardous Materials and Waste
      F. Disposal of Surplus Goods or Obsolete Equipment
G. Insurance Requirements for Third Parties
H. Proposals for Sponsored Projects
I. Publications Policy, Names and Seals
J. Travel
K. Graduate College: Stipends and Graduate Assistants
L. Administrator and Non-Investigator Faculty Member Conflict of Interest and Conflict of Commitment Policy
M. Investigator Conflict of Interest and Conflict of Commitment Policy
N. Prohibition on the Acceptance of Gifts
O. Investigations and Complaints
P. Authority for Negotiation and Approval of Contracts
Q. Use of Computer Resources
R. Record and E-mail Retention
S. Requests from Law Enforcement
T. Faculty Companies
U. Student Travel Policy
V. Social Media Policy
W. Volunteers and Unpaid Interns

IV. Selected Safety Committee Policies

https://web.iit.edu/general-counsel/resources/safety-committee-reports

A. Incident Investigation Policy and Incident Investigation Form
B. Instructional Laboratory and Workshop Safety Policy
C. Laboratory Safety Inspection Policy
D. Chemical Hygiene Policy for Lab Safety Standards
E. Vacant Laboratory Guide
V. Academic Related Policies

A. Appointment of Part-time and Adjunct Faculty
B. Honorary Degree Policy
C. Joint Degree Programs
D. Research Associate and Senior Research Associate Appointment Responsibilities and Procedures
E. Visiting Researcher – Appointment Responsibilities and Procedures
F. Interdisciplinary Degree Policy
G. Policy on Joint Appointments with External Entities
H. Faculty Search Procedures
I. Endowed Chair Policy

VI. Business and Operation Related Policies

A. Political Activity on Campus Policy
B. Purchasing Procedures
C. Standard of Ethics and Business Conduct

VII. Services for Faculty

A. Support Services for University Activities
B. Communications
C. Auxiliary Activities and Services
D. IIT Accommodations and Amenities
CODE OF ACADEMIC HONESTY

Illinois Institute of Technology expects students to maintain high standards of academic integrity. Students preparing for the practice of a profession are expected to conform to a code of integrity and ethical standards commensurate with the high expectations society places upon the practitioners of a learned profession. No student may seek to gain an unfair advantage over another.

It shall be a violation of this Code for a student to engage in conduct that violates the standards of his or her major academic discipline, the standards of the academic discipline in which she or he is engaged, the standards of the profession of which she or he is training, or the standards of the University set forth here.

It is a violation for a student, whether or not currently enrolled in the University, to knowingly engage or attempt to engage in the following:

1. the misrepresentation of any work submitted for credit or otherwise as the product of a student’s sole independent effort, such as using the ideas of others without attribution and other forms of plagiarism;

2. the use of any unauthorized assistance in taking quizzes, tests or examinations;

3. the acquisition, without permission, of tests, answers sheets, problem solutions or other academic material when such material has been withheld from distribution by the instructor;

4. deliberate and harmful obstruction of the studies, research or academic work of any member of the IIT community;

5. making material misrepresentation in any submission to or through any office of the University to a potential employer, professional society, meeting or organization; or

6. the intentional assistance of others in the violation of the standards set forth in this Code.

Academic Discipline

Any member of the IIT community who is aware of a violation of the IIT Code of Academic Honesty, or who has evidence that a violation has occurred, is urged to inform the appropriate course instructor, academic unit head or dean or send an email to academichonesty@iit.edu. Faculty members or administrators who are aware of a violation, or who have good evidence of a violation, must inform the Chair of the Academic Honesty Committee for the appropriate academic unit and the Designated Dean for Academic Discipline (“DDAD”). The appropriate academic unit is the unit responsible for the course in which the alleged academic honesty violation occurred. The DDADs are as follows:
The DDAD will provide a record of all incidents to the Office of the Dean of Students.

A student who believes that his or her record is factually inaccurate should inform the Dean of Students, who will investigate, as he or she deems appropriate, and, if he or she determines necessary, in his or her sole discretion, will correct any factual inaccuracies in the record. The decision of the Dean of Students as to such matters shall be final.

If a violation concerns conduct relating to coursework, the course instructor may meet with the student and impose one of the sanctions below if after the meeting the instructor has satisfied himself or herself that a violation has in fact occurred. The meeting may be held in consultation with the academic unit head, or with the Academic Honesty Committee of the academic unit. The course instructor will report the violation, a summary of the facts evidencing the violation and the sanction to the DDAD. Appropriate sanctions include:

**Expulsion from a course.** The student is assigned a punitive failing grade of ‘E’ for the course and can no longer participate in the course or receive evaluation of coursework from the instructor.

**Reduction in grade.** A reduction in grade for the assignment or exam involved or for the course may be applied.

Upon receipt of information about a violation of the Code, the DDAD will review the report and any record of prior violation of the Code by the student. If there are one or more prior violations, the DDAD will consult with the Chair of the Academic Grievance Committee of the University Faculty Council to determine whether the matter should be referred to a hearing before the Academic Grievance Committee for further sanctions. The DADD’s decision to refer a matter to the Academic Grievance Committee shall be made in his or her sole discretion and shall be final. If the matter is referred for a hearing, the Academic Grievance Committee shall supplement its membership as necessary so that the Committee includes at least one faculty member from the Academic Honesty Committee of the academic unit where the violation occurred, one member of the student’s major faculty, one other faculty member, two students and the Dean of Students or his or her designee. The Academic Grievance Committee so supplemented will form a disciplinary committee for the purpose of investigating the
matter and making findings and a recommendation to the DDAD. The chair of the
Academic Grievance Committee shall chair this disciplinary committee.

A student who is to appear before such a disciplinary committee shall be notified in
writing by the Dean of Students of the charges, in summary fashion, placed against him
or her and the time and place of the hearing. This notice shall be delivered to the
student at least five days before the hearing. A student appearing before the
disciplinary committee has the right to be accompanied by an advisor, witnesses on his
or her behalf, and his or her parents. The advisor is limited to advising the student and
may not participate in presenting the case, questioning witnesses, or making statements
during the hearing. A student shall have the right to make an oral statement both at the
start and the conclusion of the hearing and to submit written evidence to the committee.
Further, as a general rule, a student shall have the right (i) to present and to question
any witnesses of his or her choosing that have information relevant to the charges
against him or her, provided that the chair may, in his or her sole discretion, disallow
witnesses whose testimony would be redundant or not germane to the charges; and (ii)
to cross-examine any witness that is called to testify in support of the charges, provided
that the chair may, in his discretion, limit such cross-examination to the extent it is not
germane to the charges, is redundant or becomes abusive or harassing. Members of
the committee may, as each deems appropriate, ask questions of any witness called or
regarding any evidence submitted. To the extent deemed necessary to maintain
decorum or to protect students from harassment or to ensure the integrity of the
process, the chair may require a student to direct questions to the chair who will then
ask them of a witness or witnesses.

An audio tape recording of the hearing will be made. The audio tape will remain the
sole property of the University. No other record of the hearing may be made.

Upon receipt of the findings of the disciplinary committee, which findings may include
recommended sanctions, the DDAD shall determine the appropriate action to be taken
and shall so notify the student.

The disciplinary committee may recommend, and the DDAD may impose, any of the
following sanctions:

- **Expulsion from a course.** The student is assigned a punitive failing grade of ‘E’
  for the course and can no longer participate in the course or receive evaluation of
coursework from the instructor.

- **Suspension.** Suspension is a status assigned for various periods of time in
  which a student’s enrollment is interrupted. A suspended student may not
  attend day or evening classes, participate in student activities, or live in
  campus housing. A suspended student may apply for reinstatement at the
  end of the period of suspension. If reinstated, the student may be placed on
disciplinary probation for a period of time designated by the DDAD.

- **Expulsion.** Expulsion is the complete severance of association with the University.
  Notation of the violation of the Code is made on the student’s transcript.
In any matter where the DDAD’s determination is to impose a sanction of suspension or expulsion, the DDAD’s determination shall automatically be stayed and the matter referred to the Provost for review. With respect to the DDAD’s proposed determination, the Provost may make any of the determinations set forth under the Appeals Procedures heading immediately following. Once the Provost’s review has been completed, the DDAD’s determination, as it may have been modified by the Provost, shall become effective. Notwithstanding any other provision of this Student Handbook, no matter so referred to the Provost shall be subject to any further appeals on the basis that the sanction imposed was inappropriate to the offense.

**Appeal Procedures**

An appeal of a decision on academic honesty must be submitted in writing to the Office of the Dean of Students within five business days of notification of the decision. Supporting information must be submitted with the appeal. An appeal or submission made after this deadline will not be considered. Decisions rendered by the DDAD without referral to the University Faculty Council’s Academic Grievance Committee and sanctions, excluding non-punitive grades, imposed by a course instructor may be appealed to the Academic Grievance Committee, which in the latter instance only may either affirm or overturn the course instructor’s finding of academic dishonesty. Upon such an appeal, the Academic Grievance Committee will supplement its membership to form a disciplinary committee that is composed as described above and that follows hearing procedures as described above.

Decisions of the DDAD following a disciplinary committee hearing and decisions of a disciplinary committee hearing upholding a course instructor’s finding of academic dishonesty may be appealed to the Provost, whose decision shall be final. An appeal to the Provost is limited to the following reasons:

- appropriate procedures were not followed;
- the sanction imposed was inappropriate for the offense; or
- new evidence that was not available at the time of the original decision, not due to the fault of the student, has become available.

**The Provost may make one of the following determinations:**

- uphold the decision and the sanction;
- reverse the decision and the sanction; or
- uphold the decision, but return the matter to the DDAD to reconsider the sanction.
CODE OF CONDUCT

The University is a community of scholars that must strike a balance between the freedom to pursue intellectual endeavors and a respect for the rights of all community members to enjoy such freedom to the same extent.

IIT students assume an obligation to conduct themselves in a manner compatible with the University’s function as an educational institution. Individuals are held responsible for their own actions. In addition, organizations are held responsible for the actions of their members. Representative officers of any organization are held responsible for group action to the degree for which they are judged to have control of such action.

The following actions constitute violations of the University’s Code of Conduct. The judicial process may be initiated against individuals or organizations for violations occurring on University premises. IIT reserves the right to adjudicate violations of the Code of Conduct occurring off-campus and on the Internet.

1. Dishonesty, such as cheating, plagiarism or knowingly furnishing false information to the University. (For academic dishonesty, please refer to the Code of Academic Honesty).

2. Forgery, alteration or use of University documents, records or instruments of identification with intent to defraud.

3. Harassment and/or hazing in all forms or other treatment of a demeaning, abusive, threatening or alarming nature. Harassment includes, but is not limited to, striking, laying hands upon, intimidation, threatening with violence or offering to do bodily harm to another person, or invasion of privacy. Harassment may also be of a verbal nature and include suggestive comments, insults, humor and jokes about sex or gender-specific traits, and sexual propositions. Harassment also includes conduct that creates a hostile and intimidating environment that impairs an individual’s ability to function normally in an educational or occupational environment. Hazing is usually defined as any action taken or situation created, intentionally, to produce mental or physical discomfort, embarrassment, harassment, or ridicule, and is often, but not always, associated with conditions of group membership.

4. Intentional obstruction or disruption of teaching, research, administration, disciplinary proceedings or other University activities and other authorized activities on IIT premises.

5. Physical abuse of any person, or conduct that threatens or endangers the health, safety, or mental well-being of any such person.

6. Sale, distribution, manufacture, use or possession of drugs that are not prescribed by a physician for personal use or are not available on the legal open market.
Possession, use, or distribution of marijuana, LSD, or other hallucinogens and/or narcotics by any person or paraphernalia such as hookah, bongs, pipes, rolling papers, deseeding trays, roach clip, scales, or any item used to inhale/ingest illegal substances or any item used to disguise the use of drugs on University property or during any of its activities (to the extent that off-campus activities are University activities).

7. Possession or use of alcohol by and the dispensation or distribution of alcohol to any individual under the age of 21 years.

8. Possession or use of firearms, fireworks, explosives, weapons, or items deemed by IIT to be weapons of any description, for any purpose. This includes, but is not limited to, airsoft guns, BB guns, pellet guns, air rifles, crossbows and hunting knives. (Appropriate exception is made for those participating in ROTC programs and for any safety or other peace officer on duty authorized by the University.)

9. Theft of or damage to University property or premises or possession of such stolen property. Theft of or damage to property of a member of the IIT community or possession of such stolen property.

10. Failure to comply with directions of University officials or disorderly abusive conduct toward University officials acting in the performance of their duties.

11. Misuse of fire safety equipment, setting fires, failure to evacuate the building during a fire alarm or violation of any fire safety policy. Open fires are also prohibited.

12. Violation of published University regulations, including the computer use policy, the web policy, smoking policy and regulations relating to entry and use of IIT facilities (see, for example, Residence Life Handbook, IIT Bulletins, IIT Policies & Procedures Manual, and the like).

13. Violations of federal, state or municipal laws on or off campus in a way that adversely affects the functioning of the University.

14. Sexual Misconduct which is defined as sexual intercourse (anal, oral, or vaginal) or sexual touching (including disrobing or exposure), however slight, with any object, by a man or woman upon a man or a woman, without effective consent. Effective consent is informed, freely and actively given, mutually understandable words or actions which indicate a willingness to participate in mutually agreed upon sexual activity. Consent is not effective if it results from the use of force, threats, intimidation, or coercion. In addition, to have sex with someone who you know to be, or should know to be incapable of making a rational, reasonable decision about a sexual situation is a violation of this policy (e.g. an intoxicated person or someone with a mental or emotional impairment).
CONDUCT DISCIPLINE

The judicial process, which exists in order to maintain the safe and efficient operations of the University and to aid in advancing its academic mission, is based on the assumption that disciplinary procedures, when required, should be an educational process. Disciplinary sanctions are imposed to help students develop individual responsibility and encourage self-discipline, to foster a respect for the rights of others, and to protect the rights, freedoms and safety of all members of the University community. Hearings or appeals processes are not courts of law and are not governed by criminal or civil court procedures. The only process to which a student is entitled is the process provided for in this Handbook. However, because some violations of the Code of Conduct are also violations of the law, students may be accountable to both law enforcement agencies and the University for their actions. The University’s judicial process will normally proceed notwithstanding any external civil or criminal proceeding.

Information for Crime Victims about Disciplinary Proceedings

Institutions must, upon written request, disclose to the alleged victim of any crime of violence, or a non-forcible sex offense, the results of any disciplinary proceeding conducted by the institution against a student who is the alleged perpetrator of such crime or offense. If the alleged victim is deceased as a result of the crime or offense, the information shall be provided, upon request, to the next of kin of the alleged victim.

Good Samaritan Provision

In an effort to encourage students to help one another by contacting the appropriate administrative department/authority in critical situations (Public Safety, Housing & Residential Services, Office of the Dean of Students, Counseling Center) or 911 Emergency Assistance, a student who seeks assistance for another student, who is experiencing a drug or alcohol emergency, will not be subject to disciplinary action by the Dean of Student’s Office.

This policy is not meant to promote unlawful drug or alcohol use among students. Rather, it is intended to provide a “Good Samaritan” provision within the Code of Conduct to encourage responsible reporting to the appropriate authority when a student is in need of help. Accordingly, it is expected that any reporting will be done in good faith. The Dean of Students or his or her designee will investigate the circumstances involving the request for assistance and may also require a reporting student to participate in drug or alcohol abuse education or counseling as appropriate.

Reporting pursuant to this policy will be monitored and the Dean of Students retains the authority to pursue, in accordance with the Code of Conduct and applicable law, disciplinary action against and/or contact the parents of students who abuse it.

Complaints

Anyone – student, staff member, faculty member or non-IIT individual – may initiate a complaint against a current or formerly enrolled student for misconduct. (A complaint may also take the form of an IIT Department of Public Safety Incident Report
regarding student conduct.) Complaints must be in writing and may be filed with any of the following offices:

- Office of the Dean of Students;
- the Office of Housing & Residential Services;
- Public Safety; or
- the Greek Council.

All complaints will be processed through the Office of the Dean of Students. This Office will review the complaints and determine the appropriate course of action. Less serious offenses involving fraternity or sorority regulations will be heard by the Greek Council. Similarly, less serious offenses involving residence hall violations will be heard by appropriate Housing & Residential Services staff.

**Disciplinary Proceedings**

**Notification**

Within the time periods set forth below, notification of an investigatory meeting and/or hearing will be provided by the Office of the Dean of Students and will include a summary of the violation(s) alleged and the time and place of the meeting or hearing. Once proper notification has been given, the University reserves the right to hold the hearing whether or not the student elects to participate. Email correspondence will be considered sufficient written notification in all instances where written notification is required.

In the conduct hearings described below, the student alleged to have violated the Code of Conduct has the right to be accompanied by an advisor, witnesses on his or her behalf and his or her parents. The advisor is limited to advising the student and may not participate in presenting the case, questioning witnesses or making statements during the hearing. A recording of the hearing will be made and will remain the sole property of the University. No other record of the hearing may be made.

**Meetings and Hearings**

**Investigatory meeting:** Prior to a hearing for violation(s) of the Code of Conduct, the Office of the Dean of Students may, at its discretion, hold an investigatory meeting. This meeting between the student and the Dean of Students or his/her designee is to discuss the matters in the complaint. The student will be notified in writing at least three days before the scheduled meeting. If the matter proceeds to a hearing, the student will choose between a hearing before the Campus Judicial Board or a hearing before the Dean of Students or his or her designee. (As appropriate, the Office of the Dean of Students may, in its discretion, require the matter to be heard by the Campus Judicial Board.)

Prior to the student choosing a course of action, the Dean of Students or his or her designee must inform the student if the alleged misconduct could result in a sanction of suspension or expulsion. This information may be communicated in the above-described notification. If such sanctions could result and the student wants the matter
to be heard by the Dean of Students or his or designee, the student must sign a statement waiving his or her right to a hearing before the Campus Judicial Board.

**Hearings:** If the student fails to attend the investigatory meeting or a meeting is not held, the matter will proceed to a hearing before the Campus Judicial Board. The student will be notified in writing by the Office of the Dean of Students at least five days before any hearing.

A student, who is the subject of a complaint heard by the Campus Judicial Board or Dean of Students, will be advised of the decision of the Board or Dean of Students and the sanction to be imposed. For additional information on the hearing process, contact the Office of the Dean of Students (312.567.3080).

**Campus Judicial Board**
The Campus Judicial Board shall be advised by a designee of the Dean of Students and shall include two faculty members, at least one of whom is not in the student’s major department, three students, and two IIT staff members, all appointed by the Dean of Students. The Board shall elect a Chair from among the faculty or staff representatives.

A Campus Judicial Board hearing may proceed as long as at least one faculty member, two students and one staff member, as described above, are present.

At the hearing, the student shall have the right to make an oral statement both at the start and the conclusion of the hearing and to submit written evidence to the Campus Judicial Board. Further, as a general rule, a student shall have the right (i) to present and to question any witnesses of his or her choosing that have information relevant to the charges against him or her, provided that the chair may, in his or her sole discretion, disallow witnesses whose testimony would be redundant or not germane to the charges; and (ii) to cross-examine any witness that is called to testify in support of the charges, provided that the chair may, in his discretion, limit such cross-examination to the extent it is not germane to the charges, is redundant or becomes abusive or harassing. Members of the Campus Judicial Board may, as each deems appropriate, ask questions of any witness called or regarding any evidence submitted. To the extent deemed necessary to maintain decorum or to protect students from harassment or to ensure the integrity of the process, the chair may require a student to direct questions to the chair who will then ask them of a witness or witnesses.

**Student Withdrawal from School**
A student who withdraws from school while disciplinary action is pending, or who is involved in misconduct after withdrawal that would subject him or her to disciplinary action, may be required to appear before the Dean of Students and/or the Campus Judicial Board before permission to resume studies is granted.

The Dean of Students, and/or the Campus Judicial Board retain the right to investigate and adjudicate allegations of misconduct and may hold a hearing after a student’s withdrawal, regardless of whether the withdrawing student elects to participate.
Conduct Sanctions
Sanctions that may be applied by the Greek Council are described in its Constitution. Sanctions that may be applied by Housing & Residential Services are described in the Residence Hall Handbook. The Dean of Students or the Campus Judicial Board, may impose any of the following sanctions for violations of the Code of Conduct, provided that the Dean of Students may only impose suspension or exclusion if the student has received the notice required above and waived his or her right to a hearing before the Campus Judicial Board:

Disciplinary Warning
An official written notification that a student’s behavior is in violation of University regulations or standards, which also clarifies expected behavior in the future. This sanction may or may not carry with it conditions or restrictions of privileges.

Restitution
A student is required to make monetary restitution for theft of or damage to IIT property or to that of a member of the IIT community, or for expenses incurred as a result of the student’s actions.

Fines
IIT reserves the right to assess a fine for misconduct.

Suspension of network access
A student’s access to the University’s computer network or the web may be denied for violations of the computer use policy (see page 35).

Educational sanctions
A student is required to perform one or more educational sanction(s) appropriate to the offense. These may include a formal apology (in writing and/or in person), a public presentation or research paper on a designated topic, assigned campus and/or community service, participation in a workshop for alcohol or drug-related misconduct or completion of an on-line tutorial.

Conduct probation
This is a form of probation that is placed on a student for misconduct within the University community. The intent of Conduct Probation is for a student to self-correct his or her behavior and learn to become a productive member of the University community. Certain restrictions and/or educational sanctions may also apply to this form of probation. Conduct Probation also is designated to remain in effect for a specified duration (e.g., one semester or one academic year).

Disciplinary probation
This is the most serious form of probation issued by the University. A student placed on Disciplinary Probation is required to correct his or her behavior immediately in order to
remain a member of the University community. This form of probation may also include additional restrictions and/or educational sanctions and is designated to remain in effect for a specified time (e.g., one semester, one academic year). Failure to comply with disciplinary probation sanctions could result in recommendation for Suspension or Expulsion from the University (see Suspension and Expulsion).

Relocation/Suspension/Ban from Campus Housing
A student is required to relocate, for disciplinary reasons, to another residence hall or other campus housing. A student may also be prohibited from entering the residence hall/campus housing from which he or she was relocated. Further, a student may be denied, for disciplinary reasons, housing in the residence halls, in campus apartments or in fraternities or sororities.

Suspension
Suspension is a status assigned for various periods of time in which a student’s enrollment is interrupted. A suspended student may not attend day or evening classes, participate in student activities or live in campus housing. A suspended student may apply for reinstatement at the end of the period of suspension (see page 43). If reinstated, the student may be placed on disciplinary probation for a period of time. Pending a hearing, the Dean of Students may issue a temporary suspension in an emergency.

Expulsion
Expulsion is the complete severance of association with the University.

Conditions/Restrictions
Any sanction may carry additional conditions, such as referral for counseling of specified type and duration as appropriate; denial of use of University facilities; denial of parking privileges; being barred from such activities as representing the University on any athletic team or participating or holding office in any student organization or committee; or being barred from receiving employment or scholarship aid from university funds.

In any matter where the Dean of Students or the Campus Judicial Board seeks to impose a sanction of suspension or expulsion, the imposition of the sanction shall automatically be stayed and the matter referred to the Provost for review. With respect to the proposed sanction, the Provost may make any of the determinations set forth under the Appeals Procedures, Determinations heading immediately following. Once the Provost’s review has been completed, the Dean of Students’ or the Campus Judicial Board’s proposed sanction, as it may have been modified by the Provost, shall become effective. Notwithstanding any other provision of this Student Handbook, no matter so referred to the Provost shall be subject to any further appeals on the basis that the sanction imposed was inappropriate to the offense.

Appeal Procedures
An appeal of a sanction for violation of the Code of Conduct must be submitted in writing to the Office of the Dean of Students within five business days of notification of the
decision. Supporting information must be submitted with the appeal. An appeal or submission made after this deadline will not be considered.

Levels of Appeal
Decisions rendered by the Greek Council or Housing & Residential Services Staff may be appealed to the Office of the Dean of Students, and the decision of the Dean of Students' with respect to such matters shall be final. Disciplinary sanctions imposed on students for misconduct by the Dean of Students or his or her designee or by the Campus Judicial Board may be appealed to the Provost, whose decision shall be final.

Basis for Appeal
An appeal to the Provost may be made only for one of the following reasons:

- appropriate procedures were not followed;
- the sanction imposed was inappropriate for the offense; or
- new evidence that was not available at the time of the original decision, due to no fault of the student, has become available.

Determinations
The Provost may make one of the following determinations:

- uphold the decision and the sanction;
- reverse the decision and the sanction; or
- uphold the decision and modify the sanction or return the case to the Campus Judicial Board or the Dean of Students to reconsider the sanction.
POLICY ON VARSITY ATHLETICS
Responsibilities of Faculty and Student Athletes

In general, faculty members work very well with our athletics department to facilitate the ability of our student athletes to pursue their academic interests and to satisfy all academic requirements while still competing on a varsity team. Varsity athletics is important to the fabric of university life, important not just to the participating athletes but also to the entire student body. At IIT, participation in athletics is often a key element in preparing individuals for later life.

On occasion, a situation arises where an instructor requires a student athlete to choose between coursework and participation on a varsity team. Though rare, such situations can undermine student morale and blunt the development of a healthy classroom-extracurricular balance for students.

To avoid such situations and to provide uniform guidelines across the university, this memo outlines the responsibilities of varsity student athletes and faculty members with respect to such matters:

- The student athlete is responsible for providing the instructor with a schedule of all sanctioned contests during the first week of the semester or as soon thereafter as the dates are set.
- Except in extraordinary cases, a varsity student athlete is to be excused without penalty from a class when it directly conflicts with a formal sanctioned contest with another university/college.
- If an exam, quiz or other academic test/presentation is scheduled for the class period for which the student athlete is excused, the instructor is generally expected to work with the student to make reasonable arrangements to take the exam or quiz, or make the required presentation, either before or after the missed class. In cases where reasonable arrangements cannot be made, such as joint student presentations (e.g., IPRO presentations), then the student-athlete will be expected to attend the class.
- The instructor is responsible for informing the student athlete in a timely manner of any assignment that will be made during the missed class.
- The student athlete is responsible for obtaining class notes from the students who attend the class and for completing all assignments due at the missed class or assigned at the missed class.
- The athletic director is responsible for communicating this policy to the varsity coaches and student athletes, collecting first-hand information for claims of violation and transmitting those claims to the relevant deans with back-up information.
- The deans of our colleges are accountable for communicating this policy to their faculties, and for ensuring that their faculty members adhere to the policy.
FACULTY FAMILY POLICY

This Policy establishes rules governing leaves and extensions of tenure probationary periods by faculty members for childbearing, adoption and/or childrearing. Any leave hereunder is independent of a personal leave taken in accordance with the provisions of the Family Medical Leave Act.

I. ELIGIBILITY

This Policy applies to:

1. full-time, benefits-eligible tenured or tenure-track faculty; and
2. other full-time, benefits-eligible instructional faculty who, at the time of the birth or adoption, have completed three years of continuous full-time service on the IIT faculty or who are serving on an academic appointment of three years or longer at the time of the leave.

This Policy does not apply to persons who hold research faculty.

II. QUALIFYING CIRCUMSTANCES

A. Leave for Childbearing
Paid leave is provided to eligible faculty members for childbirth. If a medically certified disability arises as a result of pregnancy or childbearing which renders the faculty member unable to work before or after the academic term in which the faculty member takes this childbearing leave, the faculty member is eligible for additional leave per IIT policies. A faculty member who takes a leave for childbearing is not eligible to take a childrearing leave.

B. Leave for Adoption
Paid leave is provided to eligible faculty members for adoption of a child. A faculty member who takes a leave for adoption of a child is not eligible to take a childrearing leave.

C. Leave for Childrearing
Paid leave is provided to eligible faculty members who are at least an equal partner in caring for a child. A faculty member is only entitled to a leave for childrearing if he or she has not taken a leave for childbearing or adoption of a child.

III. LENGTH AND TIMING OF LEAVES

A. Childbearing and Adoption Leave
The leave is for one semester. This leave must be taken during the academic term in which the birth or adoption takes place or during the academic term immediately following the birth or adoption. The faculty member is expected to notify his or her dean of his or her intention to take such a leave at least 60 days prior to the beginning of the academic term during which the leave will take
place, except that in cases of adoption a shorter notification period will be acceptable if circumstances so dictate.

B. Childrearing Leave

The leave is for one semester. This leave must commence within 12 months of the birth or adoption of the child. Requests for childrearing leave will be granted upon recommendation of the requester’s dean and the approval of the Provost. In general, such a leave will be granted unless the dean and provost determine that granting the requested leave would result in an undue burden to the department given its then-current circumstances. Relevant factors that will be considered in evaluating any such request will include, without limitation, the staffing of the department, the number of faculty members already scheduled for leave, the number of enrolled students and class loads. The faculty member is expected to submit a request for leave to his or her dean at least 60 days prior to the beginning of the academic term requested as the leave period.

IV. EXPECTATIONS DURING CHILDBEARING, ADOPTION OR CHILDEREARING LEAVES

A faculty member on a childbearing, adoption or childrearing leave will not be required to teach or to fulfill such other University service responsibilities as membership on committees; however, he or she is expected to retain responsibility for (i) the submission of grant proposals and (ii) any necessary supervision of students pursuing such work as undergraduate senior research or project courses and masters or doctoral research.

V. TENURE CLOCK EXTENSION

In addition to being eligible to take a leave for childbearing, adoption or childrearing pursuant to this Policy, a faculty member will be eligible for an extension of his or her pre-tenure probationary period because of the birth, adoption or rearing of a dependent child. (A faculty member’s ability to seek an extension of his or her pre-tenure probationary period shall not be dependent on whether he or she took a leave for childbearing, adoption or childrearing.) Specifically, up to a one-year extension will be granted to mothers following childbirth and to parents following adoption, and up to an additional one-year extension for childrearing may be granted to a parent who is at least an equal partner in caring for a child. The extension of the pre-tenure probationary period will not exceed a total of two years within a faculty member's pre-tenure probationary period at IIT, regardless of the number of children born to and/or adopted by the faculty member.

In cases of birth or adoption of a child, approval for extension of the pre-tenure probationary period for one year (or such lesser period as requested) will be automatic upon written request by the faculty member in accordance with Appendix R of the Faculty Handbook. In cases of childrearing, approval for extension of the pre-tenure probationary period will be discretionary, and requests for such an extension based upon childrearing will be made and evaluated in accordance with Appendix R of the Faculty Handbook.
Third Month Summer Salary from Federally Funded Grants

For an individual to be charged to a research account funded from federal sources, that person must be working on the contract to which the salary will be charged during the month in which the salary will be charged. Individuals may not transfer effort from one month to another. Faculty members who work full-time during the entire summer will earn a total of one week of vacation time for the three months of effort. This week of paid vacation time may be taken during the summer months (June, July, or August) and charged to a sponsored research contract from federal sources. Faculty members who wish to take vacation in excess of the normal one week accrual should not charge the additional vacation time to a sponsored research grant from federal sources.

In addition to compliance with IIT policy and approval of the academic unit head and dean, a faculty member must have the approval of the sponsoring agency before he or she may receive a third summer month payment. Some sponsoring agencies will not allow charges for a third summer month to their contracts. Other agencies limit increases in salary charges over the approved budget and require specific authorization.

Summer salary will be limited to 2.5 months with no need for documentation. A form must be completed by a faculty member to justify salary request for the remaining two weeks of the summer stating the reasons for the salary request and certifying that there will be no vacation or no activity on university business unrelated to the grant activity beyond one week during the summer. A copy of the form is attached.

For most faculty members, the remaining one-half month can accommodate university-related non-research activities and part of a summer vacation. Any travel related to the funded research activity would be considered as time spent on research.
ILLINOIS INSTITUTE OF TECHNOLOGY
Request and Certification for Third Month Summer Salary from Federally Funded Grants

Name of Faculty Member: ________________________________

College and Department (if applicable): ________________________________

Title and FOAP Number of Federally Funded Grant 1: ________________________________

Name of Federal Funding Agency of Grant 1: ________________________________

Award Period: ________________________________

Number of Summer Months to be charged to Grant 1: ________________________________

Amount of Salary to be Charged to Grant 1: $______________________________

Title and FOAP Number of Federally Funded Grant 2: ________________________________

Name of Federal Funding Agency of Grant 2: ________________________________

Award Period: ________________________________

Number of Summer Months to be charged to Grant 2: ________________________________

Amount of Salary to be Charged to the Grant 2: $______________________________

Total Number of Summer Months Charged to Federal Grants: ___ months.
(Cannot exceed 3.0 months)

By signing below, Faculty Member certifies to Illinois Institute of Technology ("IIT") that he or she (i) has dedicated himself or herself on a full-time basis to working on the Grant(s) during the 3-month summer period, namely, the months of June, July and August, (ii) has not engaged and will not engage in any IIT-related activity unrelated to the Grant during the 3-month summer period, and (iii) has not taken and will not take more than one week of vacation during these months. IIT-related activities in which Faculty Member will not engage include teaching summer courses, research on other projects, administrative work and other academic activities. The advising of students...
and attending regularly scheduled meetings of IIT standing committees, including, by way of example, and not as a limitation, the Diversity, Safety, Quality of Work Life, IACUC, IRB, and IBC Committees, are allowed. Faculty Member acknowledges that IIT will rely on this certification in making a determination as to whether the salary amount set forth above may be charged to the above-listed Grant. Faculty Member acknowledges and agrees that he or she will immediately alert IIT of any change in circumstance that render this certification false.

Faculty Member understands that submitting a false certification or failing to alert IIT to a change in circumstance that renders the certification false is a basis for disciplinary action under the IIT Faculty Handbook.

TWO COPIES OF THIS FORM MUST BE SIGNED, APPROVED BY THE DEPARTMENT CHAIR (IF APPLICABLE) AND DEAN OF THE COLLEGE. ONE COPY SHOULD BE ATTACHED TO THE PAYROLL AUTHORIZATION FORM. THE OTHER COPY SHOULD BE SUBMITTED TO THE PROVOST’S OFFICE. SUMMER SALARY PAYROLL AUTHORIZATIONS WILL NOT BE PROCESSED FOR SALARY REQUESTS THAT EXCEED TWO-AND-A-HALF MONTHS WITHOUT A SIGNED AND APPROVED COPY OF THIS FORM BEING ATTACHED TO THE PAYROLL AUTHORIZATION FORM AND A SIGNED AND APPROVED COPY OF THIS FORM BEING SUBMITTED TO THE PROVOST’S OFFICE.

Signature of Faculty Member: __________________________ Date: ___________

Approved (Department Chair, if applicable): __________________________ Date: ___________

Name and Title: ________________________________________________________

Approved (Dean): __________________________ Date: ___________

Name and Title: ________________________________________________________
Third Month Summer Salary from Federally Funded Grants

For an individual to be charged to a research account funded from federal sources, that person must be working on the contract to which the salary will be charged during the month in which the salary will be charged. Individuals may not transfer effort from one month to another. Faculty members who work full-time during the entire summer will earn a total of one week of vacation time for the three months of effort. This week of paid vacation time may be taken during the summer months (June, July, or August) and charged to a sponsored research contract from federal sources. Faculty members who wish to take vacation in excess of the normal one week accrual should not charge the additional vacation time to a sponsored research grant from federal sources.

In addition to compliance with IIT policy and approval of the academic unit head and dean, a faculty member must have the approval of the sponsoring agency before he or she may receive a third summer month payment. Some sponsoring agencies will not allow charges for a third summer month to their contracts. Other agencies limit increases in salary charges over the approved budget and require specific authorization.

Summer salary will be limited to 2.5 months with no need for documentation. A form must be completed by a faculty member to justify salary request for the remaining two weeks of the summer stating the reasons for the salary request and certifying that there will be no vacation or no activity on university business unrelated to the grant activity beyond one week during the summer. A copy of the form is attached.

For most faculty members, the remaining one-half month can accommodate university-related non-research activities and part of a summer vacation. Any travel related to the funded research activity would be considered as time spent on research.
ILLINOIS INSTITUTE OF TECHNOLOGY
Request and Certification for Third Month Summer Salary from Federally Funded Grants

Name of Faculty Member: ________________________________

College and Department (if applicable): ____________________________

Title and FOAP Number of Federally Funded Grant 1: ____________________________

Name of Federal Funding Agency of Grant 1: ____________________________

Award Period: ____________________________

Number of Summer Months to be charged to Grant 1: ____________________________

Amount of Salary to be Charged to Grant 1: $__________________________

Title and FOAP Number of Federally Funded Grant 2: ____________________________

Name of Federal Funding Agency of Grant 2: ____________________________

Award Period: ____________________________

Number of Summer Months to be charged to Grant 2: ____________________________

Amount of Salary to be Charged to the Grant 2: $__________________________

Total Number of Summer Months Charged to Federal Grants: ___ months.
(Cannot exceed 3.0 months)

By signing below, Faculty Member certifies to Illinois Institute of Technology (“IIT”) that he or she (i) has dedicated himself or herself on a full-time basis to working on the Grant(s) during the 3-month summer period, namely, the months of June, July and August, (ii) has not engaged and will not engage in any IIT-related activity unrelated to the Grant during the 3-month summer period, and (iii) has not taken and will not take more than one week of vacation during these months. IIT-related activities in which Faculty Member will not engage include teaching summer courses, research on other projects, administrative work and other academic activities. The advising of students
and attending regularly scheduled meetings of IIT standing committees, including, by way of example, and not as a limitation, the Diversity, Safety, Quality of Work Life, IACUC, IRB, and IBC Committees, are allowed. Faculty Member acknowledges that IIT will rely on this certification in making a determination as to whether the salary amount set forth above may be charged to the above-listed Grant. Faculty Member acknowledges and agrees that he or she will immediately alert IIT of any change in circumstance that render this certification false.

Faculty Member understands that submitting a false certification or failing to alert IIT to a change in circumstance that renders the certification false is a basis for disciplinary action under the IIT Faculty Handbook.

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Signature of Faculty Member: ____________________________ Date: ____________

Approved (Department Chair, if applicable): ____________________________ Date: ____________

Name and Title: ___________________________________________________________

Approved (Dean): ____________________________ Date: ____________

Name and Title: ___________________________________________________________
Procedures for Implementation of Summer Salary Policy

As noted in the faculty handbook:

"During the summer session faculty members are free to make other professional engagements either at IIT or elsewhere. Teaching and/or research assignments at IIT during this period are neither mandatory nor guaranteed. Summer teaching assignments depend on courses scheduled and adequate enrollment and are usually available on a rotating basis to faculty qualified to teach the courses offered. Full-time faculty summer salary is the smaller amount of 60 percent of the tuition or 1/27 of salary per credit hour.

Part-time faculty compensation will be negotiated. Law school faculty should consult with their dean regarding summer session pay.

Faculty supported by external grants are entitled to receive additional compensation for summer activities as allowed by the grant budget, and subject to a policy set by the Provost in consultation with the University Faculty Council. This policy shall be uniformly applied across all academic units."

Provost’s Policy

1. Summer salary received from external research grants

Faculty supported by external grants also may receive additional compensation for summer activities involving the grant. The first two months of summer salary may be charged to an externally funded research grants when such salary is approved by the granting agencies. After the first two months' grant-based summer salary, each subsequent day of grant-based summer salary requires one equivalent day of academic-year salary charge-off from that grant. This academic year charge off must occur in the same academic year, i.e. between September and June before the summer salary compensation occurs. A signature of the Dean is required for payments in the third summer month. For tenure track Assistant Professors the requirement of academic year charge off before one can be paid a third month of summer salary, may be waived by the Dean.

An external research grant is an award that is processed by grants and contracts and the funding source is external to the university.

2. Issues regarding the third month of summer salary

The ability to pay oneself a third summer month is a reward for success in writing research grants. If one is to be compensated for a third summer
month from research grants, one must follow the rules outlined in the faculty handbook that govern payments in the third month. Compensation of up to two weeks in the third month requires no special consideration other than equivalent academic year charge off and approval of the Dean. To pay oneself the complete third month requires following the rules outlined in the faculty handbook supplement governing summer salary:

"For an individual to be charged to a research account funded from federal sources, that person must be working on the contract to which the salary will be charged during the month in which the salary will be charged. Individuals may not transfer effort from one month to another. Faculty members who work full-time during the entire summer will earn a total of one week of vacation time for the three months of effort. This week of paid vacation time may be taken during the summer months (June, July, or August) and charged to a sponsored research contract from federal sources. Faculty members who wish to take vacation in excess of the normal one week accrual should not charge the additional vacation time to a sponsored research grant from federal sources.

In addition to compliance with IIT policy and approval of the academic unit head and Dean, a faculty member must have the approval of the sponsoring agency before he or she may receive a third summer month payment. Some sponsoring agencies will not allow charges for a third summer month to their contracts. Other agencies limit increases in salary charges over the approved budget and require specific authorization.

Summer salary will be limited to 2.5 months with no need for documentation. A form must be completed by a faculty member to justify salary request for the remaining two weeks of the summer stating the reasons for the salary request and certifying that there will be no vacation or no activity on university business unrelated to the grant activity beyond one week during the summer. A copy of the form is attached.

For most faculty members, the remaining one-half month can accommodate university related non-research activities and part of a summer vacation. Any travel related to the funded research activity would be considered as time spent on research."

3. Other Comments

There are a number of other methods of receiving summer salary:

a. Summer teaching
b. Part of a faculty members start-up package
c. Part of an administrative position such as Department Head, Associate Dean, Dean, etc.
d. Endowed Chair holder
e. Compensation for a defined task related to university business

It is expected that salary for the third summer month would only come from research grant activity and always be subject to matching requirements, unless previously approved by a Dean due to a mitigating circumstance. Gift accounts should not be used for summer salary unless it is specifically stated in the gift agreement that such a use is appropriate and the gift is made to support research that the faculty member is directing.
Tuition Remission Taxation Policy

As an educational institution, IIT can provide undergraduate tuition benefits to employees and their spouses and dependents under section 117(d) of the tax code. That section allows IIT to offer this benefit tax-free, meaning that the value of the undergraduate tuition benefit is excludable from the employee's gross income.

In addition to the foregoing benefit, section 127 of the tax code includes a provision which makes employer-provided tuition benefits up to $5,250 per calendar year excludable from gross income. Unlike the benefit offered under section 117(d), this provision applies to graduate as well as undergraduate courses.

Graduate level tuition benefits above $5,250 are subject to income tax and, therefore, to withholding. Section 132 of the Internal Revenue Code contains the only exception to taxability, and this exception applies to courses taken by IIT employees when the course is job-related and meets all of the requirements set out in paragraph 1.162-5 of the federal tax regulations as discussed below.

Under paragraph 1.162-5, in order for the tuition remission in excess of $5,250 to be excludable from income and thus not subject to tax, the course must be required to maintain or improve skills or to meet employer job requirements. The course cannot be used to meet the minimum requirements for the job, nor can it qualify the employee for a new trade or business. Most law school, business school and public administration courses (beyond the $5,250 limit) are not exempt because they generally qualify the employee for a new trade or business.

To take advantage of the above-described exception, an employee who believes that a course for which he or she is receiving tuition remission is exempt from tax under section 132 must complete a certification form which is available in the bursar's office or online. On this form, the employee must certify that the course is required to maintain or improve skills required in the job, or the course meets requirements of IIT or legal requirements imposed as a condition of retaining the job (e.g., for licensing). In addition, the employee must certify that the course is not required to meet minimum requirements of the job and that it will not qualify the employee for a new trade or business. The employee's supervisor must also sign the form, and a course description must be included. The completed form should be forwarded to the bursar's office. For further information, see also the Internal Revenue Service web site. Search for "educational assistance".

Tuition Remission Taxation Schedule for Taxable Benefits

Internal Revenue Service regulations state that certain educational benefits (graduate level tuition benefits exceeding $5,250, unless excludable from gross income under Section 132 of the Code) are taxable. Therefore, in accordance with the Internal Revenue Code, IIT will withhold taxes from employee pay according to the below schedule. This schedule is contingent upon timely processing of the Application for Employee Tuition Remission Form that is completed by the employee. If the form is not received in the Bursar Office at least ten days before a pay date, the amount of the educational benefit will be taxed over a shorter period of time thereby increasing the withholding amounts and decreasing the employee net pay.
Please keep in mind the routing process for Employee Tuition Remission Form. After obtaining the appropriate supervisor and departmental approvals, the form goes to Human Resources for approval and, after it is approved, Human Resources sends the form to the Bursar's Office.

Please note the separate schedule for taxation of classes taken during an academic quarter, as opposed to semester. In general, classes that are offered during quarters are Stuart School of Business classes. Appropriate taxes on the taxable education benefit received by an employee will be withheld from pay issued for the following periods:

**SEMESTER CLASSES**

<table>
<thead>
<tr>
<th>SEMESTER</th>
<th>TAX PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Summer</td>
<td>June 1 - August 30</td>
</tr>
<tr>
<td>Fall</td>
<td>October 1 - December 31</td>
</tr>
<tr>
<td>Spring</td>
<td>February 1 - April 30</td>
</tr>
</tbody>
</table>

On the 1st and the 15th day of each month during a taxing period, the Bursar's Office will send the Payroll Office a list of employees that receive a taxable educational benefit and the amount of that benefit. This list will include any additions or changes in registration status. Payroll will make necessary adjustments to the employee’s tax withholding on the next paycheck. A letter will be sent to notify the employee of the amount of the benefit taxed and the taxation period. Employees who do not receive this letter, but who expect to be taxed, are responsible for notifying the Payroll Office that they should be taxed.

The taxing periods cannot be extended due to late receipt of the tuition remission application form. Therefore, the employee should be aware that when these forms are received late, deductions would be larger and be made over a shorter period of time, thereby further reducing the employee net pay.

Tuition Remission amounts for certificate programs or other non-credit programs are not considered taxable.

Questions relating to the method of calculation, amount and duration of taxes should be directed to the Payroll Office at payroll@iit.edu or 312-567-3336.

Questions relating to registration and taxable remission amounts should be directed to the Bursar Office at bursar@iit.edu or 312-567-3591.

Questions relating to benefit policies and applications should be directed to Human Resources at hr@iit.edu or 312-567-3318.
I. Introduction

IIT departments, organizations and affiliates are encouraged to use the facilities of the university for meetings, symposia, lectures and social activities. All space must be reserved in advance through the procedures outlined below. Classroom space is subject to the prior approval of the registrar. The requesting organization has the responsibility to issue the necessary orders and authorization for use of space and services and to comply with all university regulations applicable to the event.

II. Non-University Organizations

A. Definition

Organizations and groups that are not supported wholly or in part by university funds or that are not IIT affiliates are considered to be non-university organizations. In general, IIT facilities may be reserved by non-university organizations only through the Campus Reservations Office (the “Office”). IIT reserves the right to make the facilities available to non-university organizations at its sole discretion.

B. Approval of Events

Non-university organizations requesting facilities and space must make their request through their university sponsor(s) to the Office. Before the request is approved, the sponsoring department head must approve the proposed program. A representative from the sponsoring department must be actively engaged in the planning and production of the event(s). This will deter “fronting” or false sponsorship. The sponsoring department is responsible for any and all fees that the affiliate fails to pay including, but not limited to, room rental, catering and audio-visual expenses.

C. Special Approval

Requests for use of space for programs or events that do not relate to a university department may be made through the Office.
III. Spaces That May Be Reserved

A. McCormick Tribune Campus Center (MTCC)

The McCormick Tribune Campus Center is intended to be the main non-academic meeting and gathering facility for student organizations and departments.

B. Hermann Union Building (HUB)

This Main Campus building, with its auditorium, ballroom, conference rooms, private dining rooms and lounges, should be considered first for meetings and conferences for affiliates and non-university entities. Student organizations and departments are encouraged to use the HUB when the MTCC is not available or if their event or program is too large for MTCC meeting spaces.

C. Classroom Buildings

Auditoriums, conference rooms, lobby areas and classrooms are reserved primarily for academic use but may be available for other use on a short-term basis, subject to the approval of the university registrar and when space is not otherwise available in the MTCC and HUB.

IV. Fees

A. University Groups

For most events sponsored by a university department or organization, the use of space is allowed without rental charge. In all cases, charges are made for special services such as served meals, refreshments, sound systems, major furniture setups, special equipment and decorations. Further, if an event is sponsored for the purpose of raising non-IIT funds and/or if the estimated attendance will be less than fifty percent IIT students, then staff or faculty room-rate charges apply.

B. Non-University Groups

A non-university group’s or individual’s use of space and facilities sponsored by a university department or organization should not be subsidized by the department unless a specific and agreed upon allocations for such expenditures has been made. The cost of these events should be borne by the organization holding the event and/or the attendees.

C. Rates

The rates charged for services and/or room(s) will be in accordance with the then established rental rates available from the Office.
V. Procedure for Making Reservations

The Campus Reservations Office (ext. 7-3700) located in the McCormick Tribune Campus Center handles all space requests made by any university or off-campus groups, other than requests for space associated with any Schedule of Classes. If the space requested includes any classroom or auditorium, the Office will coordinate with the registrar for assignment of these spaces. Additionally, the Office will make arrangements for all services that a group will use in connection with its event. If charges are incurred, an inter-divisional requisition (IDR) must be supplied by the relevant university department or organization and, if applicable, billing arrangements must be made with any outside group.

A. Reservations are made on a date-of-request basis; if requested space is already reserved, other rooms or alternate dates will be suggested.

B. The Office may change a reservation to another room on campus, with the understanding that adequate facilities will be provided if a change is necessary. The user will be notified of any change.

C. Written or electronic confirmation of all space requests will be provided by the Office to all off-campus groups and to on-campus groups for special reservation requests.

VI. Other Conditions for Using University Meeting Space

A. Decorations may not be fastened to walls, glass or ceilings without the approval of the Office (or, if applicable, the Housing Office), nor is it permissible to carry lighted candles or display open flames.

B. Food and beverages served in the MTCC, HUB or the residence halls must be served by IIT’s food and beverage provider.

C. Requests to serve alcoholic beverages anywhere on campus must be approved by the dean or administrative officer who exercises authority over the group requesting alcohol service. When students are invited, the Dean of Students must also approve the request. The request will be sent to the Vice President for Business & Administration for final approval and to file. Request to Serve Alcoholic Beverages forms are available from the Office and from the Office of Student Affairs.

D. Non-university organizations must supply a certificate of insurance showing evidence of liability coverage. Non-university organizations that do not have the requisite insurance can secure such insurance specifically for the event from http://urmia.bene-marc.com.

E. The sponsoring IIT department or organization and its members must take an active part in safeguarding both the campus community and IIT property during the course of the event; the non-university organization must assume
liability for any damage to or theft of IIT property due to the negligence of the organization.

F. In the event that a university-sponsored organization defaults in any way in the payment of fees for space, equipment, food services, security and extra custodial or physical resources assignments, the sponsoring department or organization must assume full responsibility for the amount due.

VII. Services Summary

A. HUB Director's Office, Extension 7-3075

The staff of the HUB is available to help with any event. They will suggest space, table, staging, audio/visual and food arrangements and will have information on bands, DJs, flower vendors, balloons and other ideas to make the event successful.

B. Audio/Visual Service, Extension 7-3075

Sound system, public address systems, VCRs, monitors, slide projectors, flip charts, equipment operators and informational signs are available.

C. Dining Services, Extension 7-3070

Breakfast, lunch, dinners, coffee breaks and receptions can be ordered.

D. Office Services, Extension 7-3069

Printing, duplicating and mailing service are available.

E. Housing Office, Extension 7-5075

Use of residence halls and overnight accommodations is coordinated through the Housing Office.
I. Policy

A. All academic functions have priority over all non-academic functions. All non-academic events (whether by internal or external groups) will be scheduled consistent with the daily class schedule. No academic event will be moved, canceled or inconvenienced to schedule a non-academic event.

B. DTC reserves the right to move any event to another room. If such a change is necessary, adequate substitute space will be provided, and the user will be notified of the change.

C. All space is on a first-come/first-serve basis.

D. DTC will not reserve space for a future semester in which academic classes have not yet been scheduled. Generally, academic class schedules are completed by the third week after the start of a new semester.

II. Spaces That May Not Be Reserved

A. Reserve Reading Room – Tenth Floor

B. Faculty Lounge – Eighth Floor

C. Faculty Conference Rooms – Seventh and Eighth Floors

D. LIR Board Room – Eighth Floor

E. Courtroom

F. Departmental Conference Rooms

III. Procedure for Making Reservations

A. All requests for space at DTC (except for the 4th floor) must be made using the electronic form a minimum of seven days in advance of the event. If possible, a request for a space should be made at least 30 days in advance as space is limited in DTC. No space will be reserved without a completed form. No rooms will be reserved over the phone or by e-mail.

The electronic form can be found at http://www.kentlaw.iit.edu/faculty-and-staff/room-reservation-form. Once completed, the form is automatically
emailed, and you will receive an email confirmation.

Written notification of the space reserved for a function will be sent within 72 hours after receipt of the form.

To reserve space on the 4th floor of the DTC, you must make a request in person to the Stuart Graduate School of Business in Room 401A.

IV. Rental Fees

Rates charged for rooms and/or services are established by and are available from the Office of Administration and Finance in Suite 265.

A. University Groups

1. For most events sponsored by a university department or organization, the use of the space is allowed without a room rental charge.

2. Fees will be charged for furniture set-ups (re-configuring the normal room set or adding furniture to the normal room set), the use of audio and visual equipment and audio and visual staff time if the event is outside normal working hours (8:30 a.m.-5 p.m., Monday through Friday).

3. Charges may be assessed for audio and visual staff during the normal working hours if it is determined that the request requires a significant amount of audio and visual staff time.

Non-University Groups

1. Non-university individuals or groups will be charged applicable rates as outlined in the then-existing room rental rate schedule.

2. Groups sponsored by a university department or organization will be charged according to the guidelines applicable to university groups.

V. Catering of Events

A. All individuals, departments and organizations are responsible for making their own catering arrangements.

B. DTC cafeteria’s catering service may be used by completing an Event Catering Form and submitting it to the manager of North Shore Vending Cafeteria, Downtown Campus. Forms are available from the Office of Administration and Finance in Suite 265.

VI. Other Conditions for Using Downtown Campus Space

A. Serving of Alcoholic Beverages
1. A Request To Serve Alcohol Form must be secured from and submitted to the Assistant Vice President of Administration, Finance and CLE in Suite 265. The form will be sent to the Vice President for Business & Administration on the Main Campus for approval.

2. It is the responsibility of the person, organization, firm or company hosting the event at which alcohol is to be served to insure that no alcoholic beverages are served to anyone under the age of 21 and that no one becomes unruly or intoxicated.

3. It is the responsibility of the person, organization, firm or company hosting the event to advise the beverage server (caterer, staff member or participant) that (i) underage persons are in the building, and (ii) all persons served must be 21 or older and to ask for appropriate identification if in any doubt. A sign must be posted at all beverage service area, stating: “No one under 21 years of age will be served alcoholic beverages.”

4. During an event, no alcoholic beverages are permitted outside of the assigned reserved space.

B. Posting of Signs, Notices and Banners

1. Signs, notices or banners for an event may not be nailed, tacked, taped or in any way affixed to:
   a. walls in any hall or room;
   b. doors (wood or glass);
   c. the top of the front lobby reception station; or
   d. the glass of the front lobby glass case.

2. An easel will be provided, upon request, to post a sign outside the room where the event is being held. The user may also attach a notice to the clips on the room outside of each classroom door.

3. The event will also be listed in the Weekly Activities Schedule, which is posted by DTC administration in the glass case in the front lobby.

C. Receiving Dock, Storage, Custodial Staff

1. DTC’s receiving dock hours are 8-11:30 a.m. and 1-3:30 p.m., Monday through Friday. All deliveries for an event must go through the receiving dock. No deliveries are permitted through the front doors.

2. DTC will not store any materials prior to or after an event.
IIT’s insurance program utilizes a variety of policies and insurers to adequately provide reduced exposure to the university. IIT has insurance coverage for general, excess, automobile, property, boiler and machinery, publisher, liquor, crime, healthcare facility and counseling and directors’ and officers’ liability. Some policies have a high deductible and others are excess policies that will not pay out until a self-insured portion is met. The General Counsel’s Office (ext. 7-3006) can provide departments with certificates of insurance when a vendor or a business partner requires proof of insurance.

All losses (actual or potential, including, but not limited to liabilities for injury) should be reported immediately to the Public Safety Department (ext. 8-6300). Any substantial losses should be reported immediately to the General Counsel’s Office (ext. 7-3006). A substantial loss is one of more than $5,000 or one that may result in liability exposure of $5,000 or more. If the loss is covered by insurance, the General Counsel’s Office will decide whether to file a report with the insurance company involved and, if the loss is so reported, secure a claim number therefor.

If an area is damaged, the Department of Facilities should also be notified so repairs can begin and the space can be made safe for use. The Department of Facilities will work with the General Counsel’s Office to obtain estimates for replacement or repair to the damaged area and to obtain bids that will be submitted, as appropriate, to insurance carriers.

For large claims, the Controller’s Office will set up a claims account where charges can be accumulated pending reimbursement of insurance funds. Copies of all purchase orders and other documentation related to the claim should be kept for audit purposes and insurance settlement.

The General Counsel or authorized designee will sign proof-of-loss forms for the insurance company. When final payment is received, the claim account will be credited and the claim will be closed.
Each department is responsible for maintaining and protecting equipment assigned to the department. Department faculty and staff should be made aware of the common responsibility to safeguard all equipment and property of IIT.

Each department should notify the Public Safety Department at ext. 8-6300 immediately of any loss, disappearance, vandalism or forcible entry in the department’s area of responsibility.

Notification should also be given to the General Counsel’s Office (ext. 7-3006) to determine what insurance coverage, if any, is available to cover the loss.
I. General

Many materials used at IIT become hazardous wastes upon being discarded. These materials range from used solvents and lab chemicals with an expired shelf life to empty containers that once contained certain toxic materials. Both federal and state law requires IIT faculty, staff and students to manage hazardous materials and hazardous wastes by legally acceptable means.

The purpose of this policy is to set forth the protocol to classify and to manage hazardous wastes. (Members of the university community should also review IIT’s Safety Policies Procedures, which can be found at: http://www.iit.edu/general_counsel/safety_committee_reports.shtml.)

II. Terms and Definitions

A. Hazardous material:
A material which poses a physical or health hazard to those who may be exposed to it. For the purposes of this policy, those materials that display the sole hazard of radioactivity or are infectious agents are not hazardous materials as they are regulated by other policies.

B. Hazardous waste:
Defined in the Code of Federal Regulations (CFR), 40 CFR 261, as any substance designated for disposal that has the characteristic of a hazardous waste (i.e., ignitability, corrosivity, reactivity, or toxicity) or is included in the EPA's list of hazardous wastes.

C. P-Listed or U-Listed Waste:
A material designated for disposal that contains any one of the chemicals specified by the EPA as hazardous in CFR 40 CFR 261. Containers that have held P-Listed, or acutely hazardous chemicals, are also treated as hazardous waste when disposed. Copies of these lists are available from the Office of Environmental & Occupational Safety (ext. 7-3992).

D. Material Safety Data Sheet (MSDS):
Technical information documents describing the toxicity, physical hazards and methods of safe handling for a chemical product. These sheets are available from the product manufacturer.

E. Office of Environmental & Occupational Safety:
Located within the Department of Facilities at extension 7-3992.
III. Statement of Scope

It is the responsibility and duty of each person who has the authority to purchase materials for use by IIT employees and students to determine the hazards involved in the use of those materials prior to purchase. It then becomes the responsibility of the person overseeing these employees or students to inform them of the potential hazards and proper handling of these materials.

IV. Responsibilities

A. Department chairpersons, directors and managers shall formulate appropriate departmental policies in consultation with the Office of Environmental & Occupational Safety and shall make provisions for appropriate training their personnel in accordance with this policy and applicable Safety Policies and Procedures.

B. The Office of Environmental & Occupational Safety shall be responsible for the overall implementation of this policy for the Main Campus. The Office of Environmental & Occupational Safety shall have the sole responsibility for the disposal of hazardous wastes. The Office of Environmental & Occupational Safety shall conduct inspections to determine compliance with this policy and other relevant safety policies, procedures and practices. Notification of non-compliance shall be sent to the appropriate department head and the Provost. Continued non-compliance shall be referred directly to the Provost or Vice President for Business & Administration, as appropriate.

V. The Acquisition Process

A. All chemicals that are offered to individuals or departments at IIT as donations, gifts or in exchange for other consideration shall be subject to the same policies and procedures as purchased chemicals.

B. Department heads, administrative assistants and every other person who has the authority to purchase materials must screen all chemical purchases with the following in mind:

1. P-Listed, U-Listed and suspected carcinogenic chemicals should be avoided, if possible, and less hazardous substitutes should be considered.

2. Careful consideration shall be given to the requested quantity of any given chemical. Large quantity orders, especially those consisting of large, bulk containers, should be avoided unless a specific and timely use is intended for the chemical.

VI. Handling Hazardous Materials Within Departments

A. Each academic department handling hazardous materials within laboratories shall develop, publish and train its laboratory personnel in a Chemical
Hygiene Program that is consistent with IIT's Safety Committee for *Chemical Hygiene Policy for Lab Safety Standards* can be found at [http://www.iit.edu/general_counsel/pdfs/chem_hygiene.pdf](http://www.iit.edu/general_counsel/pdfs/chem_hygiene.pdf), and the OSHA rule requiring such a program. (Copies of the OSHA rule, *Occupational Exposure to Hazardous Chemicals in Laboratories*, are available from the Office of Environmental & Occupational Safety.)

B. Each department (academic or not) that uses hazardous materials in non-laboratory situations shall develop, publish and train its personnel in an Employee's Right-to-Know Program, which shall conform to this policy, the *Chemical Hygiene Policy for Lab Safety Standards* and the OSHA rule.

C. Each department will assign specific personnel to manage and monitor compliance with these programs.

VII. **Disposal of Hazardous Waste**

A. It is the responsibility of each person working with chemicals on the IIT campus to be aware of the proper means of disposing of the residues of those chemicals.

B. The person generating a hazardous waste is responsible for proper labeling, segregation of the waste material and calling the Office of Environmental & Occupational Safety regarding pick-up.

C. The Office of Environmental & Occupational Safety shall be responsible for the collection and disposal of all hazardous waste generated on the IIT Main Campus.

D. Each container of waste submitted for disposal must be labeled with the following information:

1. Complete and accurate description of the contents of the container using full chemical names and, if known, the proportion of each chemical contributing to the whole;
2. Name and/or department of the person generating the waste;
3. Date the material was discarded; and
4. Commercial mixtures, trademarked products and the like shall be accompanied by an MSDS if the chemical constituents are not readily identifiable from the name of the product or from the information on the product's packaging label.

E. In order to avoid the expense of chemical identification procedures, every reasonable effort shall be made within each department to identify unlabeled or poorly labeled containers before they are submitted to the Office of Environmental & Occupational Safety.
F. In general, no charge exists for the disposal of properly labeled and packaged hazardous wastes. However, charges will be levied for the identification of unlabeled containers, disposal of compressed gas cylinders and unusually large quantities of hazardous waste.

G. The following categories of waste must be handled as recyclable materials under the federal Universal Waste Rule. Contact the Office of Environmental & Occupational Safety for the proper disposal procedures.

1. Batteries (all types);
2. Electronic equipment, e.g. computers, monitors, printers, cell phones and copiers;
3. Pesticides (household or commercial);
4. Non-incandescent lighting, e.g. fluorescent light tubes, sodium vapor, metal halide vapor and neon; and
5. Mercury containing items, including thermostats, light switches and tilt switches.
Title to all equipment is vested in IIT, with departments having the responsibility for the care and maintenance of the equipment assigned to the department.

When a department has excess, surplus or obsolete equipment that it wishes to dispose of, the following procedures are to be followed:

1. The department wishing to dispose of an item should contact the manager of accounts payable and fixed assets in the Controller's Office and provide an inventory tag number. If an inventory tag does not exist, the department is required to provide the date of purchase, the FRS account number the item was purchased against and the purchase amount. The Controller's Office will verify that the item is fully depreciated and will complete the disposal form and forward it to the department for approval. If grant funds were used to purchase the item, the manager of accounts payable and fixed assets will forward the form to the Department of Project Accounting, and Project Accounting will verify the ownership of the item and determine if there are any sponsor-imposed restrictions on the disposal of the item. If there are restrictions, the item will be disposed of in compliance with the restrictions.

2. For an item not encumbered with sponsor-imposed restrictions, the Controller's Office will notify the IIT community of the availability of the item to determine if the item can be used by any other department.

3. If it is determined that there is no use for the item within IIT, the item is fully depreciated and can be disposed of and the item has a market value in excess of $500, bids should be taken from any and all interested sources. The Controller's Office will notify the IIT community of an item's availability and arrange the bid process for and the disposal of the item. The Controller's Office may dispose of an item with a market value less than $500 using any reasonable process.

4. Upon approval of sale or disposal, all inventory tags should be removed from the item. Proceeds of the sale will be included in the university's unrestricted net assets.
When entering into contracts, leases, agreements and purchase orders between the University and third parties, it shall be the responsibility of the administrator executing the contract, lease, agreement or purchase order to give due care and consideration that the third party is appropriately insured. Although each situation is unique, the standards below should serve as guidelines for the type and amounts of insurance that should be expected of third parties. If in a particular case, the administrator has doubt as to the appropriateness of or need for certain insurance and/or insurance provisions, he or she should contact the General Counsel’s Office.

1. As a general rule, if the third party will perform work on campus or employees or agents of the third party will be on campus, then the contract, lease, agreement or purchase order should require that Illinois Institute of Technology be named as an Additional Insured on the third party’s general liability and, if applicable, automobile policy.

2. The third party should be required to carry insurance from a carrier licensed to do business in Illinois that is rated “A- VIII” or better by A.M. Best (or comparable rating).

3. The contract, lease, agreement or purchase order should require that the third party’s insurer provide at least 30 days’ prior written notice to the University of termination or modification of all required insurance coverage.

4. If the third party will be performing design, construction, construction-like activities, demolition or other activities generally considered to be of a hazardous nature, then the contract, lease, agreement or purchase order should require that the third party’s commercial general liability insurance should be “primary and not contributory” and its property insurance should include a “waiver of subrogation” in favor of the University.

5. As a general rule, contracts, leases, agreements or purchase orders should require that the third party have the following insurance in the following amounts:

   a. Commercial general liability insurance with limits not less than $2,000,000 combined single limit for personal injury, sickness or death or for damage to or destruction of property for any one occurrence;¹²³

   b. Property insurance insuring the full replacement cost of all equipment, real and/or personal property owned or used by the third party in connection with the contract, lease, agreement or purchase order;

   c. Worker's compensation insurance in an amount not less than the required statutory limits and including employer's liability insurance with limits of not less than $500,000 per occurrence⁶; and
I. General Proposal Procedures and Guidelines

The appropriate chairperson, academic unit head or institute director along with the academic dean and director of the Office of Sponsored Research (“OSRP”) must review and endorse all proposals to be submitted on behalf of any IIT campuses, colleges, departments, institutes and/or individual faculty and staff. This review and endorsement must occur prior to the submission of any such proposal. This prior review and endorsement requirement applies to all proposals for sponsored research, education-related projects and/or other academic or scientific programs, regardless of whether the submission is (i) to a government agency, foundation, institution of higher education, research institute or corporation, or (ii) intended as a prime proposal made directly to such entity or indirectly via a subcontract with another institution. Under no circumstances is a proposal to be submitted to an outside entity without the signature of the director of OSRP or a designated representative of this person.

In addition, every proposal must be accompanied by a Cayuse SP record (also referred to as the proposal routing form). This record must be certified by the lead principal investigator, principal investigators and other key personnel as applicable. The Cayuse SP record must also be approved and submitted by the department chair, academic unit head or institute director, as applicable, and academic dean. OSRP provides the final signatory. These signatures are necessary to assure that all proposal commitments are acknowledged by those responsible for securing them and that those commitments conform to IIT academic and fiscal regulations and policies as well as to sponsor requirements.

After the appropriate individuals have endorsed the proposal routing form, OSRP will process the proposal in accordance with IIT policies and procedures and sponsor requirements. This includes endorsement, duplication, binding and mailing or electronic submission to assure receipt or postmark by the deadline date. A copy of the proposal will also be uploaded into the Cayuse system.

The principal investigator has the responsibility for informing OSRP as soon as possible about his or her intent to submit a proposal and providing a draft budget for review along with any other administrative documents and sponsor guidelines. If there are cost-sharing requirements the principal investigator has the responsibility to gain the prior consent of the chair, academic unit head or institute director and the dean of the appropriate college via the Cayuse SP record. Commitment of IIT resources such as facilities, personnel and/or funds must be obtained before submitting a budget to OSRP, and account numbers for cost sharing must be listed on the routing sheet. All signatories to the proposal routing form have the responsibility to identify any possible conflict of interest or overlapping commitment with existing sponsors, programs, collaborations or the like that may be
contemplated or developed by others at IIT and directed to the same solicitation or sponsor. If such conflicts or overlapping commitments are identified, the respective chair, academic unit head or center director, Vice Provost for Research, director of OSRP and any other affected IIT entity will review the matter. A suitable resolution will be coordinated through OSRP.

The principal investigator has the responsibility to inform OSRP of any proposal subcontractors to IIT, or in the role of IIT as a subcontractor to another institution, so that early contact can be established with the collaborating institution to obtain their commitment or provide them with our commitment, as appropriate, prior to the submittal of a proposal to the sponsor.

OSRP has the responsibility for reviewing the budget to assure compliance with IIT and sponsor policies and requirements, including the use of approved fringe benefit and indirect cost rates. OSRP also has the responsibility to prepare and execute any representations, certifications and other administrative documentation that may be required as part of the proposal submission and to review any terms and conditions that may be offered for consideration by the sponsor as part of the solicitation. Any exceptions to the terms and conditions will be specifically identified in the proposal, as well as suggestions for alternate language that can be offered to the sponsor.

To guarantee submission, completed proposals (regardless of the submission method) are to be submitted to OSRP no later than the close of business two (2) business days prior to the agency deadline in order to allow careful review of the proposal, including budget, assurance of compliance with sponsor requirements and the signature of OSRP. In the case of complex proposals (e.g., those with multi-task, multi-year budgets; contracts requiring review; proposals involve multiple institutions), the principal investigator must provide to OSRP the completed proposal (regardless of the submission method) no later than five (5) business days prior to the agency deadline.

Proposals for research are expected to contribute to the educational mission of IIT by including provisions for the support of graduate students. This support should include stipend and tuition.

Whenever possible, cost sharing should be limited only to those situations where it is mandated by a sponsor. Cost-sharing and/or matching may be considered on a case-by-case basis if the technical objectives are aligned with IIT’s interest and capabilities.

Additional information regarding cost sharing can be found in IIT’s cost sharing policy (GCA 701). Cost-sharing or matching commitments may be shared among the appropriate departments, centers, and/or colleges with such commitments stated explicitly on the proposal routing form, along with the anticipated account to be used to meet this obligation. These commitments must be agreed to prior to submission of the proposal.

Proposals that involve the use of human subjects, animal subjects or select agents, are to be preceded by an application to the respective IIT compliance committees: the Institutional Review Board on Human Subjects, the Institutional Animal Care and Use Committee and/or the Institutional Biosafety Committee. The Office of Research
Compliance and Proposal Development oversees these committees. The principal investigator is responsible for assuring that sufficient time is provided for submitting all documentation to ensure regulatory compliance is in place, convening an application review meeting and resolving any issues related to the use of human subjects, animal subjects or select agents prior to the submittal of a proposal.

The principal investigator is responsible for notifying OSRP at the time a proposal is contemplated regarding the inclusion of any proprietary information related to an existing invention disclosure or patent application or a planned disclosure. OSRP will assure that the appropriate safeguards are included in the proposal in the form of notices to the sponsor regarding the inclusion of such proprietary information. In the case of proposals to federal agencies, specifically worded language will be included on the cover page and within the proposal to properly protect such proprietary information. Failure to include such notices may compromise the extent to which patent protection can be obtained.

The principal investigator is responsible for avoiding any conflicts of interests (as defined by the then-current IIT conflict of interest policy) and for disclosing cases of potential conflict of interest to the attention of the General Counsel, OSRP and any other appropriate IIT departments, centers and academic units so that any related issues can be resolved prior to submission of a proposal. At a minimum, all investigators and senior/key personnel (as such terms are defined in IIT’s Investigator Conflict of Interest and Conflict of Commitment Policy (Procedure No.P-2) (the “Conflicts Policy”)) associated with a proposal must have completed and submitted their respective disclosure forms as and in accordance with the Conflicts Policy. OSRP will not submit any proposal in the event any such individual has not submitted his or her disclosure forms.

II. Pre-Proposals

Pre-proposals, preliminary applications or white papers may be requested or entertained by a sponsor in order to provide the principal investigator with an early indication of whether the concept to be proposed fits the sponsor’s interest and resources and is likely to merit consideration. Pre-proposals formally submitted to sponsors that require budgets and that commit institutional resources must follow the same procedures as full proposals (i.e., submission to OSRP and the other individuals referenced herein) for review and endorsement). However, a Cayuse record will not be required for pre-proposals that do not require a budget.

III. Modifications to Proposals Already Submitted

All modifications to proposals, including budget revisions, institutional commitments, changes in key personnel and other critical factors must be reviewed and approved in the same way as new proposals.

IV. Joint Proposals with Other Institutions

Proposals involving other institutions must adhere to the same procedures as stated above and follow these principles:
A. The principal investigator must be a full-time member of the IIT faculty, and the face page and text should so indicate.

B. All personnel associated with the proposed project should be clearly identified with respect to institutional affiliation in all parts of the proposal submitted to the sponsor, including the face page, work plan, description of the project organization and the budget. There should be no ambiguity concerning the affiliation of personnel cited in the proposal.

C. The budget is the financial expression of the scope of work on the project. The budget should detail the amounts to be spent at IIT. In the case of IIT as the lead institution, the total amount to be subcontracted to the cooperating institution(s) should be stated and backed up by separate budget detail supplied by the other institution(s). (Note, the subcontract budget should include direct and indirect costs.) In the case of IIT as the subcontracting institution, the approved budget is provided to the lead institution, consistent with sponsor and IIT policies and requirements. Appropriate indirect cost must be included on the submission.

D. In the case of IIT as the lead institution, an official authorized to commit the cooperating institution must sign its proposed budget and provide it to IIT via a cover letter, subcontract proposal and any other documents required by sponsor or regulatory agencies. In the letter, the cooperating institution must agree to provide the resources necessary to accomplish the work and to comply with sponsor requirements.

E. The cooperating institution must identify a principal investigator who will be responsible for the conduct of the project at the cooperating institution.

F. In the case of joint proposals involving one or more other entities with which the principal investigator or other IIT faculty or staff may have a significant financial interest, as defined in the Conflicts Policy, the principal investigator is required to ensure that such interest has been disclose as and in accordance with the Conflicts Policy and affirm that there is no conflict of interest or address how any potential or perceived conflict of interest will be avoided in an acceptable fashion. OSRP may contact the Office of General Counsel for assistance as needed.

G. IITRI, as a separate corporation from IIT, shall be handled as a subcontracting arrangement subject to these principles.

V. Compliance

OSRP, acting through its director or a designated representative thereof, reserves the right to refuse to submit on proposals that fail to comply with the above policies and procedures.
d. If the third party is using a vehicle to perform services for the University, comprehensive automobile liability for all owned, non-owned and hired vehicles with bodily injury limits of no less than $1,000,000 per person, $1,000,000 per accident; and property damage limits of no less than $1,000,000 per accident. 2 3

6. The contract, lease, agreement or purchase order should require that upon execution and within 15 days before the expiration of each required policy, the third party will deliver to the University certificates evidencing the required insurance or renewal thereof along with any other conditions or requirements set forth in this Policy.

1 When the University rents or provides space to a not for profit or a community group for the purpose of holding a meeting, it is generally sufficient that the not for profit or community group only demonstrate that it has $1,000,000 in commercial general liability insurance. If a proposed not for profit or community group seeking to rent or to utilize space on campus does not have its own insurance or does not have adequate insurance, it can procure a limited policy sufficient to satisfy the University's requirements through a program known as TULIP (Tenants and Users Liability Insurance Program) offered by the University Risk Management and Insurance Association, of which the University is a member. More information on TULIP is available at https://tulip.ajgrms.com or by contacting the General Counsel's Office.

2 The particulars of a contract, agreement or purchase order may justify a lower policy limit, which, in all but highly unique circumstances, should not be less than $1,000,000, or higher policy limits; however, such a determination is dependent of the facts and circumstances unique to the situation. Factors to consider include, but are not limited to: (i) the nature of the services to be rendered, (ii) where the services will be rendered, (iii) the duration of time for which the services will be rendered, (iv) whether the services involve electricity, gas, flammables or dangerous chemicals or materials, and (v) the likelihood of injury (and the severity of that injury) or damage to property (and the extent of that damage) if it were to occur.

3 Major construction and design contracts should have significantly higher limits, and the responsible administrator should discuss these contracts with the General Counsel's Office.
I. Publication Review

The Office of Marketing and Communications (M&C) is responsible for the overall quality and graphic continuity of publications and other print and digital materials developed and distributed by the university. M&C may delegate such responsibility to designated units representing specific academic entities of the university. Every publication intended for substantial internal distribution or for external distribution (brochures, posters, advertising or other promotional materials) should communicate a consistent impression of the university through design and content.

When publications or other promotional materials are developed by academic units and not by M&C, the responsibility for accurate content rests with that unit. The unit shall comply with IIT identity standards and shall have covers and other image-defining elements reviewed by M&C prior to printing or online posting.

To ensure that such impressions are in keeping with the policies and image of the university, M&C (or designee) shall review these publications prior to their release to a printer, Web developer or other production vendor. Those units planning a new publication or a revision of an existing one should review IIT's style guide (http://www.iit.edu/departments/pr/comm_tools/style_guide.html) and consult with a M&C representative. Scholarly journals shall be exempt from this procedure.

II. Symbols

The university’s official logo and logotype (the mark) represent the university and visually link its various academic units. No variations to the officially prescribed use of the mark shall be permitted. Detailed guidelines for use of the mark can be found at. http://www.iit.edu/departments/pr/comm_tools/logos_iit.html.

The official seal of Illinois Institute of Technology is to be used as an identifying mark on specific documents – primarily on diplomas, certificates and special forms and publications. Its symbols represent the merger of Armour (flame), Lewis (tree) and Chicago-Kent (book).

The seal is not to be used as a design element for printed materials, except by the Office of the President. However, the seal may be used as an architectural or donor-recognition element. The seal shall not be used for flags, banners or other promotional items. Instead, elements of the institutional mark shall be used for these purposes.
III. Institutional Names

Those people who come into contact with the institution form impressions that can serve as the basis for opinions, attitudes and actions. Often, this contact first occurs through printed or online materials – letters, publications, signage, advertising, Web sites and other materials. For these reasons, it is important that the university’s visual materials project an image that is clear, consistent and easily remembered. Simplicity and consistency are essential in establishing a visual identity.

The primary designation of the institution is “Illinois Institute of Technology.” The name shall be used for first references to the university. Second references in editorial treatments shall be “IIT.” These initials shall not be used in headlines or on covers of institutional publications.

Where there is need for a shortened designation to the institution, the words “the institution” or “the university” may be used as alternatives to “IIT.”

Signage for the university shall use the institutional mark, which includes the primary designation, “Illinois Institute of Technology.” “IIT” shall not be used for institutional signage.

IV. College/School Names, and Official IIT Research Centers and Institutes

To define the university by clearly identifying the parent brand with its academic units, units shall use the institutional brand strategy reflected in the style guide (http://www.iit.edu/departments/pr/comm_tools/style_guide.html). First references to the academic divisions – as well as their departments or other subunits, along with IIT research centers and institutes – shall include their affiliation with the parent brand:

- IIT Armour College of Engineering
- IIT Chicago-Kent College of Law
- IIT College of Architecture
- IIT College of Science
- IIT Institute of Design
- IIT Institute for Food Safety and Health (IFSH)
- IIT Lewis College of Human Sciences
- IIT Pritzker Institute of Biomedical Science and Engineering
- IIT School of Applied Technology
- IIT Stuart School of Business
- IIT Wanger Institute for Sustainable Energy Research (WISER)
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I. GENERAL OVERVIEW

A. PURPOSE

The purpose of this Business and Travel Expense Policy (the “Policy”) is to provide departments, supervisors, employees and non-employees with specific policies and procedures regarding Illinois Institute of Technology (the “University”) business and travel expenses. Business expenses include those that are directly paid (e.g., Procurement Card) as well as expenses reimbursed to individuals who incur them on behalf of the University.

The primary emphasis of this Policy is on business and travel expense reimbursements because those expense reimbursements are the focus of Internal Revenue Service (“IRS”) accountable plan rules.

Business and travel expenses (including amounts allowable as per diems) that are reimbursed following IRS accountable plan rules are not subject to income or employment taxes (e.g., federal income tax withholding, social security taxes or Medicare taxes).

Generally, the following are the IRS requirements for tax-free reimbursements of expenses under an appropriate accountable plan:

1. There must be a valid business purpose for the expense and the expense must be reasonable and necessary.

2. There must be a reasonable accounting for the expense.

3. All excess reimbursements must be repaid within a reasonable amount of time.
The IRS has issued a number of regulations that further define these requirements and this Policy is designed to satisfy these regulations.

B. WHO SHOULD READ THIS POLICY?

1. Employees who incur expenses on the University’s behalf, including use of the University Procurement Card and other direct payment mechanisms.

2. Employees who travel on University business.

3. Employees who supervise employees incurring University business expenses.

4. Employees who make travel and other arrangements or prepare expense transactions for:
   a. University employees
   b. Prospective University employees
   c. University visitors
   d. Students who travel on approved University business
   e. University-sponsored conventions, conferences, or seminars

5. Non-employees (including, but is not limited to, visitors, recruits, independent contractors, consultants, students, and courtesy appointments) who travel for University-related business or incur expenses for which the University has agreed to pay.

C. GENERAL PROVISIONS

1. The University pays for business and travel expenses incurred in connection with University business that are appropriately documented and are in accordance with IRS accountable plan rules. (See Reporting Requirements.) In instances where expenses do not satisfy the requirements of the IRS accountable plan rules, the individual may, among other things, be taxed on those expenses.

2. Advance written authorization is required when University paid transportation out of the United States occurs. Written authorization is requested by completing a Travel Request Form (“TRF”), available at https://web.iit.edu/procurement-services/department-resources/procurement-forms.

3. The basic premise governing business and travel expenses is that an individual should neither gain nor lose funds in the course of conducting University business.

4. Because it is not possible to anticipate all of the circumstances that individuals may encounter in conducting University business, it is expected that those requesting reimbursement or incurring business or travel expenses and individuals preparing and approving expenses for payment will follow this Policy in a manner that keeps expenses
to a minimum, fairly assigns the costs of business-related activities to the University, and maintains a reasonable level of safety and convenience for the traveling individual.

5. All expenses must have a valid business purpose. The University will not reimburse or pay for expenses that are inherently personal in nature. Below are some examples of personal expenses:

   a. Personal grooming services, such as barbers, hairdressers, toiletries, and shoe shines;
   b. Child care costs, babysitting, and house-sitting costs;
   c. Pet care, including fees for boarding pets and other animal care;
   d. Any personal clothing and/or accessories;
   e. Prescriptions, over-the-counter medication, and other medical expenses;
   f. Personal reading material, such as non-scholarly magazines, books and newspapers;
   g. Personal recreation or entertainment such as greens fees, sightseeing fares, theater tickets, entry fees, lift tickets, and the like;
   h. Credit card delinquency fees and finance charges;
   i. Dues in private clubs;
   j. Gym and recreational fees, including massages, manicures/pedicures and saunas; and hotel room amenities, such as movies and alcohol from in-room bars, saunas, massages, etc.
   k. Personal insurance costs such as life insurance, business travel accident insurance, personal automobile insurance, except for international rental car insurance, and baggage insurance;
   l. Lost baggage;
   m. Loss or theft of travel advance money, airline tickets, personal funds and other personal property;
   n. Parking tickets or traffic violations; and
   o. Ticket reissue or change fees incurred for personal reasons.

6. The University will not pay for or reimburse business or travel expenses that have been or will be reimbursed from an outside source (other than expenses for which the University will be reimbursed under agreements such as grants or sponsored project agreements).

7. As departments govern how authorization for business and travel expenses is granted, departments may elect to impose additional restrictions beyond those required by this Policy for various business reasons, including budget availability.

8. A per diem travel allowance for meals is available for travel by University faculty, staff and student employees, but is not permitted for non-employees. Per diem reimbursement is not available for student employees who are being reimbursed for academic expenses not related to their employment.
9. The University will not provide travel advances, pay directly or make reimbursements for the travel expenses of companions/spouses or non-employees who accompany faculty or other employees on University business, except in limited circumstances. (See Companion/Spousal Travel and Business Expenses.)

**CAUTION:** Expenses that may be reasonable and necessary business expenses per this Policy may be unallowable for Federal, state or other sponsored program reimbursement, either directly or indirectly. Individuals incurring expenses or requesting reimbursement from agency or other sponsored funds should consult agency guidelines and/or the relevant contract to ensure that all agency or sponsor procedures and restrictions are followed. Any questions about the interpretation of agency or sponsor procedures or restrictions should be directed to Grant and Contract Accounting.

**D. REPORTING REQUIREMENTS**

IRS accountable plan rules require the University to maintain a policy under which employees and non-employees must account for all business and travel expenses, advances, and allowances. The accounting must include all of the following elements:

1. Sufficient information to establish a valid business purpose of the travel, entertainment, or other business expense.

2. Substantiation of the business and/or travel expense with required original receipts and an adequate record of each expense indicating the amount, date and place for all expenses of $75 or more. If alcohol is included in the receipt total, it must be identified and reported separately. (Departments may request detail for expenses below $75 for additional departmental internal control purposes.)

3. Substantiation of grant funded business and/or travel expenses with original receipts and an adequate record of each expense indicating the amount, date and place for ALL expenses.

4. The prompt return of any unused monies from travel advances. (See Travel Advances.)

In order to avoid having the reimbursement be taxable to the individual, reimbursement of expenses should be submitted within 60 days of completing the travel or incurring the expense; otherwise, this may result in the reimbursement being taxable to the individual. Exceptions to the 60 day policy are approved by the Controller’s Office.

**E. ORGANIZATIONAL RESPONSIBILITY**
The primary responsibility for compliance with this Policy rests with the individual requesting reimbursement or incurring the business expense and the departments and supervisors who are authorizing and approving these business and travel expenses. The responsibilities are defined as follows:

1. **Individual requesting reimbursement or incurring the business expense**
   The individual requesting reimbursement or incurring the business expense may delegate responsibility for preparation of the expense transaction but, in doing so, the individual retains accountability. Individuals requesting reimbursement or incurring the business expense are responsible for ensuring the following:
   
   a. The expense has a valid business purpose;
   b. Proper business justification and supporting documentation (e.g., receipts) have been obtained and/or provided to the business expense preparer;
   c. Proper approval for upgrades and exceptions has been obtained and has been provided to the business expense preparer;
   d. A valid FOAP has been provided to allocate the expenses; and
   e. To the best of the individual’s knowledge, the expense complies with this Policy and if the expense is to be charged to a sponsored award, the expense complies with all sponsor requirements/regulations.

2. **Business expense preparer**
   This individual is responsible for preparing the expense transaction, submission of which is confirmation of the following:
   
   a. Proper business justification and supporting documentation (e.g., receipts) have been received from the individual requesting reimbursement or incurring the business expense;
   b. Mileage and per diem calculations are accurate;
   c. Proper approval for upgrades and exceptions has been obtained and submitted by the individual requesting reimbursement or incurring the business expense; and
   d. The expense has been properly allocated to the FOAP(s).

3. **Business expense approver**
   This individual is responsible for approving the expense transaction, approval of which is verification of the following:
   
   a. The expense has a valid business purpose;
   b. There is proper supporting documentation (e.g., receipts) for the business expense;
   c. Mileage and per diem calculations are accurate;
   d. There is proper department approval for upgrades and exceptions;
   e. The expense has been properly allocated to the correct FOAP(s); and
f. To the best of the approver’s knowledge, the expense complies with this Policy and if the expense is to be charged to a sponsored award, that the expense is in compliance with all sponsor requirements/Federal regulations.

Permitted exceptions to this Policy may only be granted by the president, the provost, the department’s dean, a vice-president, or the designated departmental finance representative. The designated departmental finance representative must be designated by the department, and the department must notify the Controller’s Office of the department’s designation. Exceptions must be documented and submitted, along with the travel and expense reimbursement, as appropriate.

F. SHARING EXPENSES WITH EXTERNAL ORGANIZATIONS

Individuals are responsible for seeking reimbursement for expenses payable by external organizations. If an individual is taking a trip that will be paid by the University and an external organization, the University will pay its agreed upon share of the actual expenses necessary for University business. When an external organization pays for actual expenses incurred for lodging or meals, the individual may not claim per diem. The reimbursement received by the individual from all sources can never exceed the total expenses incurred by the individual.

When expenses are being shared with external organizations and the expense report justification field contains a detailed explanation of which organization is paying the balance of the expenses, a duplicate copy of the receipts will suffice for reimbursement.

G. PROCUREMENT CARD

The Policy applies to all business expenses incurred utilizing the University Procurement Card. Cardholders should also refer to the Procurement Card Cardholder Manual to familiarize themselves with what is and is not allowable to be purchased using the Procurement Card.

H. SALES TAX INFORMATION

Illinois Institute of Technology is a non-profit university organized and operated exclusively for educational purposes. We are exempt from tax under several federal and Illinois statutes for articles or services purchased with University funds (e.g., a University check, purchase order or Procurement Card) exclusively for use in our educational activities. As such, individuals conducting University business should obtain a copy of the University’s tax-exempt letter for use as applicable. A copy of the Illinois Sales Tax Exemption Form is located on the Controller’s website at http://www.iit.edu/policy_procedures/forms/purc_illinois_sales_tax_exempt.pdf. The sales tax exemption does not apply to hotel occupancy taxes, locations that are outside of the United States, and in some states.
When a tax relating to business or travel expenses is erroneously paid directly with University funds, it is the designated departmental finance representative’s responsibility to determine if the University, working through the Controller’s Office, should seek a refund of the sales tax that was paid. Questions regarding the possibility of obtaining a refund for sales tax paid should be directed to the Controller’s Office.

Sales tax incurred with personal funds for University business travel and for business meals will be reimbursed. Sales tax incurred with personal funds for other business purchases should include a description supporting the business purpose as to why the sales tax was paid and may be reimbursed subject to approval by the designated departmental finance representative.

For additional information or questions regarding sales tax, please consult the Controller Office Website or contact the Controller’s Office.

I. SPONSORED GRANTS AND CONTRACTS

Business or travel expenses funded by a sponsored grant or contract may also have additional requirements, or may be subject to additional restrictions or limitations, than those required by this Policy. The individual requesting reimbursement should consult the sponsoring agency guidelines and/or the relevant contract to ensure that all agency or sponsor procedures and restrictions are followed. Any questions or interpretation of Federal or sponsor restrictions should be directed to the designated departmental finance representative who may need to consult with the Grants and Contracts Accounting.

II. SPECIFIC EXPENSE POLICIES

A. INSURANCE, TRANSPORTATION, AND PARKING

1. Business Travel and Accident Insurance
   The University provides business travel and accident coverage for all active full-time faculty and staff members (and all part-time employees working at least seventeen and one-half (17.5) hours per week) on University approved and directed business travel. Specific questions regarding the University’s business travel and accident insurance coverage should be directed to Human Resources.

2. Using Preferred Travel Agency
   To assist University travelers, the University has entered into an agreement with a designated travel agency (DTA) that provides the University with competitive fares, high-quality service, and convenience for University travelers. This travel agency is set-up to bill the University directly for the cost of airfare, rather than the individual paying the cost personally and needing to be reimbursed. Like all other business expenses, all travel is subject to budgetary availability.
This payment method affords the traveler the means to arrange travel without affecting the outstanding credit balance on Procurement Card, going through the cumbersome process of arranging direct billing with travel providers, or tying up personal credit through use of personal credit cards. Travel purchases made using the DTA are considered as advances to the traveler. They must be identified and submitted on the reimbursement form as such when reporting expenses.

The current Designated Travel Agency is identified on the University’s Purchasing Website.

In order to make travel reservations through DTA, the TRF must be faxed or emailed to the DTA and include the FOAP. The DTA will not proceed with travel arrangements unless the TRF has been received. The DTA is not responsible for validating the authenticity of the TRF as to FOAP or Approving Authority.

3. Air Transportation

Federal law (the Fly America Act) states those federal awardees and others undertaking federal government air travel between the United States and a foreign country or between foreign countries should use United States flag carriers to the maximum extent possible. This requirement is not affected by factors of cost and/or convenience. Code share flights are acceptable under the Fly America Act; however, in order for a flight to be in compliance, the code of a U.S. flag air carrier must be noted as part of the flight number on the airline ticket, flight coupon (boarding pass), or passenger receipt.

The practices specified by the Fly America Act may differ among Federal agencies. Accordingly, individuals traveling abroad whose travel will be charged to a Federal grant or contract should consult agency guidelines to ensure compliance with agency procedures and restrictions. Any questions or interpretation of Federal regulations should be directed to the designated departmental finance representative who may need to consult with Grant and Contract Accounting.

Please be aware that the University has applied this requirement only to sponsored award air travel. Operating and gift costs are excluded from the application of Fly America Act.

An exception to the Fly America Act may apply through an airline “Open Skies Agreement”. These agreements are either bilateral or multilateral air transportation agreements that meet the requirements of the Fly America Act, as determined by the Department of Transportation. These agreements can be located on the U.S. General Services Administration (GSA) website at http://www.gsa.gov/portal/content/103191. Additional exceptions and explanations to some frequently asked travel questions can be located in the Electronic Code of Federal Regulations, located at http://ecfr.gpoaccess.gov, under 41 CFR 301-10 –

An exception in regard to the Open Skies Agreement is that a U.S. flag air carrier must be used for transportation between points where there is a City Pair Contract. A City Pair Contract is negotiated by the government to provide cheaper fares for government travel on certain popular routes. The U.S. General Services Administration (GSA) website at http://cpsearch.fas.gsa.gov/ may be used to determine whether or not a city pair contract is in effect.

a. Class
The class of air travel chosen is expected to be the lowest-priced coach airfare ticket available using a commercial discount or coach class or standard accommodations. As discussed below, first class and business class air travel are generally not reimbursable, except when unusual circumstances warrant exception such as excessively prolonged travel, requiring circuitous routing, and requiring travel during unreasonable hours or offering accommodations not reasonably adequate for traveler’s medical needs. These exceptions must be approved in advance in writing by the appropriate vice president or dean, when applicable the appropriate sponsoring federal agency.

The traveler may be reimbursed for business class when permitted by the sponsoring agency (if applicable) and the approval has been obtained by the vice president, dean or designated departmental finance representative approving the travel request.

For airline tickets funded by a sponsored grant or contract, the individual requesting reimbursement should consult agency guidelines and/or the relevant contract to ensure that all agency or sponsor procedures and restrictions are followed. Any questions or interpretation of Federal or sponsor restrictions should be directed to the designated departmental finance representative who may need to consult with Grant and Contract Accounting.

Premium (e.g., first class, business class) fares may be an appropriate business expense subject to budget availability and pre-approval by the president, the provost, the dean, a vice president, or the designated departmental finance representative. Examples include but are not limited to the following:

i. Overnight “red-eye” flights;
ii. Flights exceeding eight (8) continuous hours; or iii. Medical conditions.

b. Frequent Flyer Plans
Travelers may personally retain frequent flyer plan rewards or other bonuses that may accrue from business travel. However, in no case may the traveler choose a
reservation at a higher cost in order to accumulate additional plan rewards. The University will not purchase frequent flyer miles from travelers or reimburse them for tickets purchased with frequent flyer miles. Any membership fees to join frequent flyer clubs are considered personal expenses and will not be reimbursed by the University.

c. **Airport Airline Club Memberships**

   Dues for memberships in airline clubs are personal expenses and are not reimbursable.

d. **Baggage**

   Charges by airlines for checked baggage when traveling on University business are a reimbursable business expense.

   Excess baggage expenses are reimbursable. The traveler should plan ahead and minimize extra charges; however, when unavoidable, departmental approval is required for any of the following circumstances:

   i. Traveler is transporting University materials; or ii. Traveler is on an extended period of travel.

e. **Upgrades**

   A request for reimbursement for an upgrade for seats, premium boarding or the like must include a description supporting the business purpose as to why the upgrade was appropriate and must be approved by the individual’s supervisor and designated departmental finance representative.

f. **Parking**

   Airport or other business parking will be reimbursed, but travelers are urged to use long-term, lower-cost parking lots when available. If public transportation or a cab taken to and from the airport or other business location would result in a lower cost (due to the high cost of parking in most cities and airports), the traveler is encouraged to take advantage of these savings.

g. **Early Departure or Late Return**

   Additional costs incurred for early departure or late return are not reimbursable unless the savings in airfare is equal to or greater than the total costs for lodging, meals and the like incurred during the additional days of travel. It is appropriate to consider other relevant costs and factors against the savings in airfare, including the inherent cost of being out of the office for a longer period of time. Early departure and late return costs must be approved by the designated departmental finance representative.
h. Lost Luggage/Items
The University does not maintain any lost luggage/items insurance coverage for any loss of personal belongings of its employees while on University business travel. University employees are encouraged to make their own arrangements for this type of insurance coverage either through their personal homeowners/renters insurance company or with their travel agent at the time of travel. The University will reimburse for this type of insurance only if there is a valid business purpose and the expense is approved by vice president, dean, department chair or designated departmental finance representative.

4. Automobile Travel
   a. Personal Automobiles
When the use of a personal automobile is necessary for University business, reimbursement for its use will be made at the mileage rate published by the IRS. Employees at international locations may be required to adhere to country specific mileage rates and should consult their vice president, dean, department chair or designated departmental finance representative with questions.

It is the responsibility of the traveler to ensure that the proper mileage rate is being used and the distance is based upon actual driving distance using the most direct route. The traveler is required to document the total miles traveled either by providing driving directions from various websites or maintaining a travel mileage log. The mileage reimbursement rate covers reimbursement for use of the vehicle as well as any repairs, gas charges, and the owner's personal automobile insurance coverage, which provides the coverage in case of an accident. Tolls and parking fees are reimbursable. The University will not reimburse employees for parking tickets, fines for moving violations, vehicle towing charges, or auto repairs and maintenance.

Mileage between University campuses will be reimbursed based on the chart below. The traveler does not need to provide supporting documentation.

<table>
<thead>
<tr>
<th>From Campus</th>
<th>To Campus</th>
<th>Mileage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Main Campus</td>
<td>Downtown Campus</td>
<td>4 Miles</td>
</tr>
<tr>
<td>Main Campus</td>
<td>Moffett Campus</td>
<td>13 Miles</td>
</tr>
<tr>
<td>Main Campus</td>
<td>Rice Campus</td>
<td>36 Miles</td>
</tr>
<tr>
<td>Main Campus</td>
<td>Institute of Design</td>
<td>5 Miles</td>
</tr>
<tr>
<td>Downtown Campus</td>
<td>Moffett Campus</td>
<td>15 Miles</td>
</tr>
<tr>
<td>Downtown Campus</td>
<td>Institute of Design</td>
<td>1 Mile</td>
</tr>
<tr>
<td>Downtown Campus</td>
<td>Rice Campus</td>
<td>33 Miles</td>
</tr>
<tr>
<td>Downtown Campus</td>
<td>Main Campus</td>
<td>4 Miles</td>
</tr>
<tr>
<td>Moffett Campus</td>
<td>Rice Campus</td>
<td>23 Miles</td>
</tr>
<tr>
<td>Moffett Campus</td>
<td>Institute of Design</td>
<td>15 Miles</td>
</tr>
</tbody>
</table>
b. Domestic Rental Cars

Rental of vehicles for University business use should be arranged through the University’s preferred suppliers.

Standard vehicles are the recommended vehicle size for rental purposes. Upgrades to full-size cars are permissible if the traveler’s approver or department designee provides approval, a detailed explanation (e.g., number of persons, luggage accommodations) is included in the business justification, and it is an allowable cost by the governmental sponsoring agency (if applicable). In addition to the payment for the cost of the rental car, the only other permissible expense for rental cars in most cases is the cost to purchase any gasoline.

The University maintains insurance for employees on University business. Vehicles rented for University business purposes for less than thirty (30) days are considered short-term rentals by the University’s current automobile insurance carrier. Rentals for more than 30 days will require approval by the traveler’s president, provost, vice president or dean and General Counsel’s Office. Coverage of short-term rentals under the University’s automobile insurance policy is subject to the following conditions:

i. All drivers of rental vehicles must be over the age of twenty-one (21); ii. Coverage under the University's automobile insurance policy is only provided for vehicles rented in the United States, the territories and possessions of the United States, Puerto Rico and Canada; and iii. Rented vehicles should be leased as: Illinois Institute of Technology - (name of faculty, staff, or student).

The insurance coverage’s below should not be purchased by those traveling in the United States, any territory or possession of the United States, Puerto Rico or Canada. The University already maintains automobile liability insurance within these countries and territories. Costs for the following coverage’s will not be reimbursed:

i. Loss Damage Waiver/Collision Damage Waiver;
ii. Liability insurance supplement/Additional Liability insurance; and iii. Personal accident insurance.
c. **International Vehicle Rentals**

University employees renting vehicles for international business travel outside the coverage territory of the United States, the territories and possessions of the United States, Puerto Rico and Canada are to purchase automobile liability and physical damage insurance required by the specific country. University employees will be reimbursed for any required coverage and/or the following:

i. Loss Damage Waiver/Collision Damage Waiver; and ii. Supplemental liability insurance, if any.

Regardless of location, the following optional insurance coverage will not be reimbursed:

i. Personal effects coverage/effects protection; and ii. Personal accident insurance.

Any accident involving a rental vehicle in either a domestic or international location must be timely reported to both the car rental agency and the General Counsel’s Office for handling of claims and coordination of coverage. The renter of the vehicle must secure a police report concerning the accident and deliver this report to the General Counsel’s Office as soon as possible.

d. **Ground Transportation**

Ground transportation is an appropriate business expense (including a tip) to the extent that such service is necessary for business purposes.

5. **Rail Travel**

The class of rail travel chosen is expected to be the lowest-priced coach rail ticket available. In some cases, premium (e.g., first class) fares may be an appropriate business expense subject to budget availability and approval by the president, the provost, dean, vice-president or designated departmental finance representative.

Travelers are encouraged to request pre-approval for premium fares and must follow departmental guidelines/procedures.

6. **Foreign Travel**

All policies and procedures pertaining to travel apply to foreign travel. Actual costs are reimbursable, to the extent reasonable and necessary, provided valid business purposes and appropriate documentation are submitted with the expense report.

The U.S. State Department maintains a list of countries for which travel advisories have been issued. Countries where avoidance of travel is recommended will have Travel Warnings as well as Consular Information sheets. The State Department’s Web site for travel advisories is: [http://travel.state.gov](http://travel.state.gov).
Additionally, a traveler should consult the additional University travel resources (General Counsel’s Office) at least 30 days prior to any planned travel to any country for which an advisory has been issued to ensure the traveler is covered by the University’s insurance.

Foreign travel funded by sponsored grants or contracts may require agency or sponsor approval prior to travel. Individuals traveling abroad should consult agency guidelines and/or the relevant contract to ensure compliance with agency or sponsor procedures and restrictions. Any questions or interpretation of Federal or sponsor restrictions should be directed to the designated departmental finance representative who may need to consult with the Grants and Contracts Accounting.

Most Federal agencies require that all foreign travel be on a U.S. carrier unless circumstances, such as lengthy holdovers, preclude using a United States airline (See Air Transportation).

Many sponsoring agencies or sponsors require approve of international trips abroad well in advance of departure. This requirement exists whether or not travel is referenced in the grant or contract award notification. Arrangements for foreign travel supported by sponsoring agencies or sponsors can be complex, requiring not only prior approval but detailed justification for each trip, as well as detailed trip reports.

When completing the expense report, expenses must be reported in U.S. dollars. Foreign expenses must be submitted in U.S. dollars using the exchange rate in effect during the time of travel. The exchange rate used must be noted on each receipt when receipts are represented in foreign currency, along with supporting documentation which identifies the exchange rate used for the conversion calculation. However, if purchases were made via credit card, a copy of the credit card receipt, in U.S. dollars, should be submitted as supporting documentation. Currency exchange rates can be found at the OANDA website, http://www.oanda.com/.

B. LODGING

1. General
The University will directly pay or reimburse a traveler for lodging expenses for the single occupancy cost of a standard room incurred during University-related travel. Travelers must retain an itemized hotel bill for reimbursement of their lodging expenses.

The University will not pay for free accommodations awarded in connection with hotel frequent guest programs or any complimentary room accommodations provided by a hotel or other third party.
Individuals traveling should consult agency guidelines and/or the relevant contract to ensure compliance with agency or sponsor procedures. Any questions or interpretation of Federal or sponsor restrictions should be directed to the designated departmental finance representative who may need to consult with the Grants and Contracts Accounting.

2. Cancellations
   The University will pay for expenses incurred from cancelling guaranteed room reservations only with a detailed explanation of the extenuating circumstances. The detailed explanation must be approved by the president, the provost, dean, vicepresident, or designated departmental finance representative and must be documented and submitted as appropriate with the travel expense form. It is the traveler’s responsibility to request a refund from the hotel for a “no show” charge.

C. TRAVEL PER DIEMS– FOR EMPLOYEES ONLY

   Employees may be reimbursed for meals utilizing the per diem rates. Departments may require reimbursement based on actual expenses with receipts in lieu of per diem based upon departmental-specific policies and procedures.

   U.S. General Services Administration (GSA) periodically revises the per diem rates based on the costs of meals. Employees must use the per diem rates in effect at the time of travel. The per diem rates used must comply with those listed on the GSA website at: http://www.gsa.gov/perdiem/

| Meal and Incidentals Expense | Per Diem Rates |
Domestic Rates, also known as Continental United States (CONUS)  
http://www.gsa.gov/portal/category/21287

Domestic rates are established by the General Services Administration (GSA). Click on the above link and select the state of your travel destination. This will populate a list of cities and counties for that state. Once you have identified your destination location, look to the far right column labeled M&IE for the current meals and incidental expense per diem. If the city is not listed, but the county is, then the per diem rate is the rate for that entire county.

Foreign Rates  
http://aoprals.state.gov/web920/per_diem.asp

Foreign rates are established by the U.S. Department of State and are listed by travel country.

For budgeting constraints, departments may set per-diem rates below the approved rates, as in many cases reimbursement on a per diem basis will be more costly than reimbursement of actual expenses. The department is required to document the lower rates in writing to the traveler before the travel has occurred.

Per diems apply to the entire travel period – an employee cannot be reimbursed on a per diem basis for only a portion of a trip. Documentation for the claimed per diem must accompany the reimbursement request (i.e., GSA per diem schedule). A per diem reimbursement will not be provided if there is reason to believe that the employee does not incur meal expenses.

Per diem calculations for the first and last day of travel must take into account departure and arrival times and must be prorated accordingly if the first and/or last business day of travel does not encompass at least 7.5 hours of travel and/or work time.

Additionally, the University's meal per diem will be reduced to account for meals furnished at no cost to the employee. For example, if meal costs are provided in the cost of a conference, airfare or hotel, those meals will be deducted from the daily per-diem rate.

Employees who are eligible to receive per diem reimbursement need not submit receipts for the meals covered by a per diem. However, recipients of per diem must submit documentation (e.g., airline and conference itineraries) confirming the travel dates. In addition to per diem, employees may be reimbursed for certain other travel and business expenses. These expenses may include the costs of business transportation (including local transportation), business telephone calls, and other miscellaneous business expenses; all of the latter must be reimbursed on an actual basis, with appropriate receipts.
D. 30 DAYS CONSECUTIVE TRAVEL

When travel is expected to occur for more than 30 consecutive days in one location, or when the circumstances of the travel are such that the traveler can reasonably be expected to incur expenses comparable to those arising from the use of establishments catering to the long-term visitor or from the use of non-commercial facilities, the traveler may be reimbursed either for the actual and reasonable costs incurred or with a per-diem allowance equal to 60% of the standard rate for the appropriate geographic area. The reduced rate begins with the first day of travel.

E. ALCOHOL, MEALS, AND ENTERTAINMENT

1. General

   Depending on the particular circumstances under which the expenses are incurred, expenses for alcohol, meals, and entertainment will be treated as follows:

   a. Entertainment expenses (see Business Entertainment) incurred in the course of conducting business, are unallowable as either a direct or indirect expense of federally sponsored projects;
   b. Business expenses may be allowable as either a direct or indirect expense of federally-sponsored projects, as provided by the applicable agency guidelines;
   c. Alcohol is an unallowable expense on federally sponsored projects;
   d. Personal expenses - will not be reimbursed.

   For meals funded by a sponsored grant or contract, the individual incurring the business expense should consult guidelines and/or the relevant contract to ensure compliance with all agency or sponsor procedures and restriction. Any questions or interpretation of federal or sponsor restrictions should be directed to the designated departmental finance representative who may need to consult with Grant and Contract Accounting.

2. Travelers’ Meals

   The University will reimburse travelers for the reasonable cost of their own meals incurred during the time they are away from home (as distinguished from business entertainment expenses or local business meals covered in the following sections).

   Employees can choose to be reimbursed via per diem or actual cost for meals. Nonemployees can only be reimbursed for actual costs incurred for meals.

   As a general rule, travelers are expected to incur no additional cost when meals are provided as part of a fee for attendance at conferences, workshops, or hotel cost, or which are provided by an airline while enroute to their destination. When meals are provided in this way, the daily meal per diem is reduced accordingly. (See Travel Per Diems – For Employees Only). If there is a business justification provided regarding
dietary restrictions, the traveler may be reimbursed for the meal. Any exceptions (i.e. dietary restrictions) must be approved by the traveler’s approver.

The traveler is responsible for itemizing meals that were included as part of the conference registration fee, hotel cost, or the like.

Travelers sometimes pay for meals for others for University business reasons. These business expenses must include the name(s) of the meal attendees and the business purpose of the meal. If the attendees are not University employees, their affiliation with the University should be provided. For meals with six or more individuals including the traveler, the traveler need only identify the number of other people at the meal, and the business purpose.

3. Business Meals and Meetings When Not Traveling

a. Employee Only Business Meals

In cases where University employees meet over a meal when they are not traveling, the cost of the meal is considered a personal expense unless the primary purpose of the meeting is to conduct University business and there is a need to meet over the meal. Generally, these requirements are met when it is not possible for one or more employees to meet during working hours (e.g., when travel plans conflict with other meeting times) and the purpose of the meeting is to conduct University business in accordance with a formal agenda. IRS regulations do not allow for payment of meal expenses incurred by employees who are not traveling away from home (e.g., their travel does not require an overnight stay) unless the above criteria are met. These business expenses are permissible when the name(s) of the meal attendees (all names are required for those meals with five or fewer individuals) have been documented and the business purpose of the meal is justified.

It is permissible to incur expenses for meals provided as part of a local conference, seminar, workshop, presentation or other similar group meeting involving employees when it extends through the usual mealtime(s). Such meals must be reasonable in nature and the purpose of the meeting must be documented accordingly to ensure that it is an appropriate business expense.

All business meals requests for reimbursement are subject to budget availability.

b. Occasional Employee Banquets and Functions

Occasional – generally, annual or semi-annual – functions for employees are considered business expenses when the function is intended to serve as a token of appreciation that primarily promotes employee relations/morale or that recognizes individual or group achievements, such as holiday parties, employee banquets, retirement parties, or the like. While reasonable expenses for these functions may
be considered appropriate business expenses per this Policy, they may be unallowable for federal reimbursement.

Occasions that are personal in nature such as parties to celebrate births, marriages, or small in-office functions with purchased food or beverages are ordinarily paid for by the employees involved and are not considered business expenses.

c. Recruiting and Other Business Meals
Expenses for dining involving non-University personnel are considered business expenses when the purpose of the meeting is to conduct University business and when it is necessary or appropriate to have the meeting in conjunction with, or during, a meal. Expenses for such meals should be kept to a reasonable level. The typical business meal might involve interviews of prospective employees, discussions with vendors, consultants, or other individuals with whom the University does business, or meetings of organizations and groups at which agenda items pertinent to University business are covered.

Inclusion of companions/spouses or other individuals who are not directly involved in conducting University business are general indications that the occasion is not a business meal, but an entertainment function. (See Business Entertainment.)

Recruiting expenses are further subject to departmental specific policies and procedures.

d. Alcohol in Conjunction with Business Meals and Individual Travelers
While not encouraged, alcohol may be considered a business expense (as distinguished from an entertainment expense) when served at University functions primarily intended to promote employee relations, such as faculty receptions, holiday parties, and the like.

Because alcohol cannot be charged to a federal grant or contract (either directly or indirectly), alcohol costs must be charged to the unallowable object code/expense type and to a non-federal account. Please refer to Appendix A for all unallowable expenses on federal grants.

F. BUSINESS ENTERTAINMENT

1. What is Business Entertainment?
Meals and functions are considered entertainment if they are intended to provide hospitality to non-University individuals which, although partially social in nature, are necessary and customary in furthering the University's business.

Examples of business entertainment include:
a. receptions for University guests and visitors;
b. alumni reunions or similar alumni functions;
c. entertaining donors or prospective donors; and

d. welcoming receptions for parents and students.

Meals and functions which include companions or spouses or other individuals who are not directly involved in conducting University business are general indications that the meal or function is entertainment rather than a business meal or meeting. (See Companion/Spousal Travel and Business Expenses.)

Entertainment expenses should be reasonable in relation to the nature of the meal or function and the resulting business benefit expected to be derived from the expenses. A description (either a list of names or identification of the hosted group) and the total number in attendance at an entertainment meal or function must be indicated along with the business purpose of the entertainment. The business purpose of the entertainment must also be documented.

Because entertainment expenses are rarely, if ever, allowable as either direct or indirect costs of federally sponsored grants and contracts, it is imperative that these and any related alcohol costs be segregated and charged to either an unallowable object code/expense type or appropriate function to ensure that the amount is excluded from any calculation of direct or indirect sponsored project costs.

2. Alcohol in Conjunction with Business Entertainment

If it is deemed appropriate by the president, provost, vice president, dean, or designated departmental finance representative to include alcohol at a University entertainment function, expenses for the alcohol must be charged to the unallowable object code/expense type.

G. OTHER BUSINESS AND TRAVEL EXPENSES

1. Visitors, Recruits, Independent Contractors, Consultants, Students, Courtesy Appointments and Other Non-Employees

When the University has agreed to cover the cost of travel, room and/or board, and other expenses of visitors, recruits, independent contractors, consultants, students, courtesy appointments, and/or other non-employees (hereinafter collectively referred to as “non-employees”), this Policy applies to their expenses as well, unless the relevant contract with the non-employee requires otherwise.

Non-employees must adhere to the same reasonableness standards and submit required receipts or other documentation supporting expenses.

It is the responsibility of the department to make non-employees aware of this Policy.

Payment of non-employee’s expenses will be made once the following have occurred:
(i) A non-employee expense report has been submitted that documents the relationship of the individual, clearly describes the business purpose of the expenses, includes proper supporting documentation, and is approved by the applicable department; and

(ii) The Travel and Expense Reporting department in the Controller’s Office has audited the expense report for valid business purpose, accuracy and proper supporting documentation. (Note that additional information may be requested.)

Departments may also consider entering into an appropriate contract with the nonemployee for payment of fees that includes the non-employees expenses rather than submitting a non-employee expense report for payment of expenses.

The University will reimburse agreed upon the travel costs of students and nonemployees (such as job applicants, graduate student pre-admission visits, seminar speakers, lecturers, consultants and other individuals) when one of the following circumstances exists:

a. required by contract;
b. part of an established educational program in which the costs are included in the educational program fees;
c. participating in research or group educational activities at the University’s request;
d. participating in approved student events or activities;
e. recruiting for the University; or
f. approved by the president, provost, vice president, dean, department chairperson or designated departmental finance representative.

In cases where the payment may be considered a reimbursement of the student’s personal expenses rather than a University business expenses, the reimbursement may be taxable to the student as a non-qualified scholarship. Questions regarding whether a payment may be considered a non-qualified scholarship should be directed to the Controller’s Office.

For non-employee expenses funded by a sponsored grant or contract, the individual incurring the business expense should consult agency guidelines and/or the relevant contract to ensure compliance with agency or sponsor procedures and restriction. Any questions or interpretation of federal or sponsor restrictions should be directed to the designated departmental finance representative who may need to consult with Grant and Contract Accounting.

2. Professional Development
Reasonable expenses incurred in attending professional development programs are considered business expenses. Department supervisors determine who may attend such programs at the University’s expense, subject to budget availability. Supervisors should ensure that the content of the program is of a substantive nature that directly relates to
the employee’s job responsibilities at the University. Supervisors should consult with designated departmental finance representative for budget availability.

Professional organizations can often provide expertise and training that is not available on campus. Program content should be carefully considered in weighing the cost of travel as compared to the benefit to the University.

Travel expenses and fees associated with continuing education credits required to maintain a professional certification that is not directly related to the employee's job responsibilities at the University are not reimbursable business expenses.

3. Memberships, Dues and Subscriptions.
The University's affiliation with an organization or group is based upon the business benefit to be derived by the University from such affiliation. In the case of certain civic, community, and educational organizations that serve a broader purpose and constituency, the University typically joins as an institutional member and, as such, designates employee representatives. Institutional memberships often provide certain benefits (such as reports, studies, or the like) to the University at large and may also provide news updates and magazines that are routinely sent to a specified number of individual employees on the membership mailing list. Employees who attend meetings or functions as representatives of the University are eligible for reimbursement of travel expenses if approved by their respective departments.

Fees for individual memberships in business/professional associations as well as fees for magazine, newspaper, or newsletter subscriptions may be reimbursable if appropriate. Vice presidents or deans establish whether these costs will be reimbursed by the University. Individual membership in professional associations or other costs incurred to maintain professional certifications or licenses that are directly related to the employee's job responsibilities at the University and have a clear business benefit to the University may be considered appropriate business expenses.

The cost of memberships in athletic clubs, faculty clubs, social clubs, shopping clubs, business membership, fraternal orders, or other similar organizations generally do not qualify as business expenses. Employees must pay for these memberships personally, unless there is a clear business benefit to the University and the primary purpose of the membership is to benefit the University. In these instances, the cost must be approved by the president, the provost, the department's dean, a vice-president, or designated departmental finance representative.

4. Miscellaneous Expenses
Other expenses, including, but not limited to, postage, supplies, photocopying charges, and the like purchased for business use are considered business expenses. The payment for these types of miscellaneous business expenses must also include proper documentation and business justification.
5. Miscellaneous Travel Costs
   Other travel expenses may include, but are not limited to:

   a. business telephone calls using personal devices while traveling;
   b. hotel internet service fees;
   c. fees for passports and visas, if specifically obtained in order to perform work on behalf of the University;
   d. fees for currency exchanges;
   e. necessary laundry and dry cleaning charges after completing five consecutive days of business travel;
   f. expenses associated with baggage handling and storage, including excess baggage charges and tips; and
   g. phone calls home in a reasonable amount.

   All such expenses must be itemized and documented in accordance with this Policy.

6. Personal and Companion/Spousal Business and Travel Expenses

   a. General
      The University will not pay or reimburse travelers for expenses that are inherently personal in nature. Please refer to the General Overview section of this Policy for examples of items that are personal in nature.

   b. Personal Business Conducted During Period of Travel
      Personal expenses, as well as any incremental travel costs incurred for personal business during the course of a University business trip, are the responsibility of the traveler. Incremental travel costs include expenses that would not have been incurred on the business portion of the trip, except for the fact that the traveler conducted personal business at some point during the trip.

      For example, gas and mileage charges for out-of-the-way travel to visit friends or relatives are personal expenses. Such expenses must be identified and deducted from the expenses reported on the expense report. Expenses for personal gain (e.g., personal consulting) cannot be reimbursed.

      Personal expenses may not be charged to University accounts (even if the intention of the traveler or a third party is to later reimburse the University for these expenses). Airline reservations for personal travel made using a University preferred travel agency should be charged to a personal credit card and not billed to a University account.

   c. Companion/Spousal Business and Travel Expenses
      Expenses incurred for accompanying companions/spouses are considered personal in nature except on occasions when attendance of a companion/spouse at an event
serves a bona fide business purpose for the University and the presence of the companion/spouse is essential (not just beneficial) to the employee being able to carry out the business purpose for the University. In these cases, the business and/or travel expense should be authorized in writing by the president, provost, dean, vice-president, or designated departmental finance representative. The written approval must be submitted with the expense report and must detail the business purpose served by the companion/spouse’s attendance at the event and how the companion/spouse’s presence was essential in carrying out that business purpose.

As these costs are always unallowable as direct or indirect costs for federal reimbursement, these costs must be recorded using an appropriate unallowable object code or function. Likewise, if companion/spousal travel is coordinated with a preferred travel agency and is to be paid for by the University, written approval must be obtained by one of the persons outlined above, and must be submitted with the travel request.

Amounts paid by the University for companion/spousal travel and/or business expenses must be included in the employee's W-2 as taxable wages unless the companion/spouse’s attendance at the event meets the above requirements. Departments should consult the Controller’s Office prior to making commitments to reimburse for companion/spousal travel and/or business expenses as the reimbursement may be taxable to the employee.

H. RELOCATION OF NEW EMPLOYEES

1. General Requirements
   University departments may, in hiring new employees, agree to pay a portion of the cost of relocating the new employees and their families.

2. What Will Be Reported on the New Employee’s W-2 for Tax Purposes?
   Certain types of moving expenses paid or reimbursed by the University must be treated as additional compensation to the employee, subject to both income and employment tax withholding. All reimbursed moving expenses must be reported as taxable income. In any event, the University will treat such expenses in accordance with the applicable IRS regulations in effect at the time they are incurred. Refer to IIT Policy AP109 for further details.

   A department may elect to cover all or a portion of taxable expenses of relocating a new employee; but the new employee should be informed in advance of the move that the payment of these expenses are subject to payroll and tax reporting withholding.
III. PAYMENT OF BUSINESS EXPENSES

A. TRAVEL ADVANCES

1. General
   Since the Procurement Card can be used to purchase airline tickets, conference fees and reserve hotel rooms, the University will authorize advances on a case by case basis only for international travel and upon the approval of the Controller. The University will provide travel advances for employees traveling on authorized University business to cover reasonable miscellaneous costs, such as taxi fares, tips, and other business expenses. Travel advances must not be used to cover personal expenses.

   Each travel advance is the personal obligation of the traveler. Thus, the traveler is responsible for any lost or stolen travel advances (whenever possible, travelers should use hotel vaults to safe keep cash or other valuables). Employees are responsible for submitting an expense report with required receipts to account for the travel advance and for returning the unused balance of the travel advance.

2. Procedures for Obtaining Travel Advances
   Travel advances are not a benefit. Rather, they are a mechanism to support the business needs of University employees when traveling. Requests for travel advances are submitted on the Travel Request Form. Designated departmental finance representative may implement additional processes or limit travel advances.

   Advances will not be granted to employees who have an uncleared prior travel advance unless the president, provost, dean, vice-president, or designated departmental finance representative certifies that extenuating circumstances warrant an additional advance.

   The Controller’s Office may revoke the right to obtain travel advances when the privilege has been abused.

3. Availability of Travel Advances
   Travel advances will generally not be provided earlier than one business week before the planned departure date of the trip unless there are extenuating circumstances or an approved exception.

   Employees must immediately return any travel advance to the Controller’s Office when a trip has been canceled or has been postponed for more than five working days.
If travel advances are greater than the expenses incurred, the traveler must return the remaining balance (by personal check) to the Controller’s Office at the same time the expense report is submitted.

4. **Uncleared Travel Advances (Including Payroll Reporting)**
   The Controller’s Office monitors uncleared travel advances and sends email notifications to travelers if the advance is not cleared within 30 days of travel completion.

   If an individual fails to substantiate the business expenses covered by the travel advance within 90 days after completing the travel (e.g., clearing the advance), the University is required by the IRS to report these payments as taxable income to the employee.

   An employee may not obtain additional travel advances if the employee has uncleared outstanding travel advances.

**B. EXPENSE DOCUMENTATION**

1. **General**
   The primary responsibility for expense documentation rests with the individual requesting reimbursement or incurring the business or travel expenses, as well as the departments and supervisors who are authorizing and approving these business and travel expenses.

   Because University business and travel expenses are subject to audit by government agencies, internal and external auditors and other sponsors, thorough documentation and accounting for expenses is required.

2. **Required Documentation and Receipts**
   All purchases made with grant funds require a receipt regardless of dollar amount or means of payment.

   All individuals requesting reimbursement or incurring business and travel expenses are required to attach original receipts to substantiate their business expenses, except in the case of per diem reimbursements – see **Travel Per Diems – For Employees Only**. However, business and travel expenses paid by the Procurement Card will not require original receipts and a legible copy is acceptable.

   As with any University payment, original documentation is necessary to verify expenditures and eliminate the possibility of duplicate payments. All single expenditures of $75 and greater need to be accompanied by original receipts. In instances where original receipts are not available, a copy may be acceptable when accompanied by a valid explanation. Generally, credit card statements are not sufficient documentation; however, if no other form of receipt can be obtained, the original credit card statement will be accepted, provided a valid explanation accompanies it.
It is not appropriate to round-off amounts or to estimate expenses. In cases of nongrant funded purchases where receipts are not required to be submitted, e.g., highway tolls, tips, or an expense in an amount less than $75, individuals must report the actual amounts of the charges and itemize these expenses.

In the case of airfare not charged directly to a departmental account through a University preferred travel agency, travelers must provide proof of payment.

Meal and restaurant receipts should be itemized and include the name and location of the restaurant, the number of people served and the date and amount of the expense. If alcohol is included in the receipt total, it must be identified and recorded separately from the rest of the meal.

3. Itemizing Expenses
   Expenses should be allocated to the proper Banner account number(s) based upon object code/expense type. In addition to segregating unallowable items and omitting non-business expenses, charges on itemized hotel or other bills such as meals, telephone, parking, internet fees, and the like should be broken out and reported separately.

   Authorized persons approving business or travel expenses are primarily responsible for enforcing this Policy and, in so doing, must be satisfied that the expenses are appropriate, reasonable, and sufficiently described and documented in a manner consistent with this Policy.

4. Approval Authority
   Each department has a defined expense approval hierarchy in the Banner Financial system. This requires that the approver of a business expense must be the individual’s supervisor or someone at a higher level than the supervisor.

   No individual is authorized to approve his or her own, a peer's or a supervisor's business or travel expenses. In assigning approvers for expense transactions, bear in mind that an individual must have signing limits/access to the organizations where expense transactions will be charged.

5. Proof of Payment
   When requesting reimbursement for travel or business expenses paid via personal check, a copy of the front and back of the check or scanned image may be required to substantiate the expense.
Appendix A

ALLOWABILITY/UNALLOWABILITY OF SELECTED COST ITEMS

The Office of Management and Budget (OMB) has issued new guidance under Title 2 of the Code of Federal Regulations (CFR), which establishes uniform cost principles and audit requirements for all Federal awards to non-Federal entities, and administrative requirements for all Federal grants and cooperative agreements. 2 CFR 200, Subchapter F of this guidance establishes principles for determining the allowable costs incurred by non-Federal entities under Federal awards. Refer to Subchapter F of 2 CFR Part 200 for full detailed information on the allowability or unallowability of cost items.

This guidance is effective as of December 26, 2014.
I. Graduate Teaching Assistants

A. Graduate teaching assistantships are awarded to graduate students upon recommendation of department chairs. Recipients of such awards are expected to be full-time students in good standing making satisfactory progress toward a designated graduate degree at IIT. Recipients of teaching assistantships remain eligible for other forms of graduate student financial aid. There are two main types of awards:

1. One-half time graduate teaching assistantship

   Teaching duties shall not exceed 20 hours per week, and the minimum stipend shall be determined by the academic unit head and approved by the dean of the college involved. This assistantship also carries a tuition scholarship.

2. One-third time graduate teaching assistantship

   Teaching duties may not exceed 12 hours per week, and the minimum stipend shall be determined by the academic unit head and approved by the dean of the college involved. This assistantship also carries a tuition scholarship.

If necessary, academic unit heads can approve teaching assistantships with lower teaching duties. Compensation would be adjusted according to the teaching duties assigned.

B. A limited number of teaching assistants are appointed for the summer session. The stipend must be approved by the dean or the director of the college, school or institute involved. Tuition scholarships may be granted to summer teaching assistants.

C. Teaching assistants may be appointed as research assistants during the summer.

II. Graduate Research Assistants

A. Research assistants are designated by an academic unit head to an allocated position and may register for not more than 12 credit hours in any one semester.

B. The research assistantship includes a tuition scholarship plus a stipend.
I. Background

In conformance with long-standing policy, IIT requires Administrators and Non-Investigator Faculty Members, as defined herein, to disclose certain financial interests. The purpose of this disclosure is to identify and avoid Conflicts of Interest, actual or apparent. In addition to addressing issues related to Conflicts of Interest, this policy also seeks to ensure that Administrators and Non-Investigator Faculty Members, as employees of IIT, fulfill their commitments to IIT.

II. Definitions

“Administrator” is an individual who (i) is defined by university policy as having budgetary or financial responsibility, and (ii) does not qualify as an Investigator.

“Conflict of Interest” means the existence of a personal or private interest that reasonably could lead an independent observer to question whether one’s professional actions, judgments or decisions related to university matters are or could be determined or influenced by considerations of a Significant Financial Interest.

“Investigator” means the project director or principal investigator and any other person, regardless of title or position, who is, or has been within the preceding 24 months, responsible for the design, conduct or reporting of funded research, or proposed for funding, which may include, without limitation, all full-time faculty members, collaborators, consultants and visiting and part-time faculty members with research privileges. Senior/key personnel, as such term is defined in IIT’s Investigator Conflict of Interest and Conflict of Commitment Policy, are deemed to be Investigators.

“Non-Investigator Faculty Member” means a faculty member who (i) is not a visiting or part-time faculty member who only provides classroom instruction, and (ii) has not been an Investigator within the immediately preceding 24 months.

“Significant Financial Interest” means anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees, free travel or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). The term does not include:
1. salary, royalties or other remuneration from IIT;
2. income from seminars, lectures or teaching engagements sponsored by public or nonprofit entities;
3. income from service on advisory committees or review panels for public or nonprofit entities;
4. an equity interest that, when aggregated for the discloser and the discloser's spouse and dependent children, meets both of the following tests: does not (i) exceed $10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and (ii) represent more than a 5% ownership interest in any single entity; or
5. salary, royalties or other payments that when aggregated for the discloser and the discloser's spouse and dependent children, are not reasonably expected to exceed $10,000 during the next twelve-month period.

III. Disclosure Obligation

All Administrators and Non-Investigator Faculty Members must annually disclose Significant Financial Interests that create, may create or be perceived to create a Conflict of Interest. This disclosure must be promptly updated when any new such interests are obtained during the course of the year. Disclosures are to be made using the electronic version of the Disclosure Form attached hereto, which is available on the Office of General Counsel webpage (http://www.iit.edu/general_counsel/) under the Conflict of Interest heading located in the left-hand column. In making disclosures pursuant to this policy, Administrators and Non-Investigator Faculty Members must also report any Significant Financial Interests of their spouses and/or dependent children that create, may create or may be perceived to create a Conflict of Interest.

Any Administrator or Non-Investigator Faculty Member who currently is or becomes an Investigator is subject to and must comply with and make disclosures as required by IIT"s Investigator Conflict of Interest and Conflict of Commitment Policy.

The managing Vice President and the General Counsel, or their respective designees, will review disclosures, assess their potential for Conflicts of Interest and develop, as appropriate, resolution plans to manage, reduce or eliminate such conflicts. If a Vice President has a Conflict of Interest, then his or her resolution plan must be approved by the President.

Elements of a Conflict of Interest resolution plan may include but are not limited to:

- disclosure by the Administrator or Non-Investigator Faculty Member to his or her supervisor of the Significant Financial Interest and, if applicable, a waiver of the Conflict of Interest from the supervisor;
- disqualification from participation in the portion of the project or the decision-making process that is affected by the Significant Financial Interest;
- divestiture of the Significant Financial Interest; or
- severance of the relationship creating the actual or potential Conflict of Interest.
IV. Enforcement Mechanisms and Sanctions

For Non-Investigator Faculty Members, potential violations of a Conflict of Interest resolution plan shall be handled by the Provost, who will establish and enforce appropriate sanctions based on the specific conduct of the individual failing to follow his or her approved resolution plan. For Administrators, potential violations of a Conflict of Interest resolution plan shall be handled by the managing Vice President, who will establish and enforce appropriate sanctions based on the specific conduct of the individual failing to follow his or her approved resolution plan. For Vice Presidents, potential violations of a Conflict of Interest resolution plan shall be so handled by the President.

V. Documentation and Record Maintenance

The General Counsel will establish a reasonable system to maintain the records of all disclosures and of all actions taken to resolve Conflicts of Interest for at least three years thereafter.

VI. Conflict of Commitment

All full-time Administrators and Non-Investigator Faculty Members owe their primary professional allegiance to IIT, and their primary commitment of time and intellectual energy should be to their IIT-related duties. Whenever an individual's outside activities interfere with his or her professional obligations to IIT, a “conflict of commitment” exists.

In the case of part-time Administrators and Non-Investigator Faculty Members, this general principle applies to the extent of their employment. Non-Investigator Faculty Members and Administrators employed less than full-time may engage in consulting relationships and other employment to the degree that those activities do not interfere with their obligations to IIT.

The following points relate to conflicts of commitment:

1. With respect to Non-Investigator Faculty Members, under no circumstances may their outside consulting work exceed the limits imposed by the Faculty Handbook. With respect to Administrators, under no circumstances may they undertake outside consulting activities without the express permission of their supervisors. Neither Non-Investigator Faculty Members nor Administrators may use university resources, including facilities, personnel or equipment, except in a purely incidental way, or university confidential information, in connection with outside consulting activities or for any other purposes unrelated to the mission of the university.

2. Neither Non-Investigator Faculty Members nor Administrators should allow other professional activities to detract from their primary allegiance to IIT or deny IIT a business opportunity.
All Administrators and Non-Investigator Faculty Members, as defined in the IIT Administrator and Non-Investigator Faculty Member Conflict of Interest and Conflict of Commitment Policy, must complete a Disclosure Form. In brief, all Administrators and Non-Investigator Faculty Members must annually disclose Significant Financial Interests, as defined in the policy, which create, may create or be perceived to create a Conflict of Interest. They must also promptly update this information as new interests arise over the course of the year. Please refer to the foregoing policy when completing the Disclosure Form; however, in summary, this policy states:

A “conflict of interest” exists when one’s personal or private interests are such that they reasonably could lead an independent observer to question whether the person’s professional actions, judgments or decisions related to university matters are or could be determined or influenced by considerations of a Significant Financial Interest.

An “Administrator” is an individual who (i) is defined by university policy as having budgetary or financial responsibility, and (ii) does not qualify as an Investigator.

A “Non-Investigator Faculty Member” is a faculty member who (i) is not a visiting or part-time faculty member who only provides classroom instruction, and (ii) has not been an Investigator within the immediately preceding 24 months.

An “Investigator” is a project director or principal investigator and any other person, regardless of title or position, who is, or has been within the preceding 24 months, responsible for the design, conduct or reporting of funded research, or proposed for funding, which may include, without limitation, all full-time faculty members, collaborators, consultants and visiting and part-time faculty members with research privileges. Senior/key personnel, as such term is defined in IIT’s Investigator Conflict of Interest and Conflict of Commitment Policy, are deemed to be Investigators.

Any Administrator or Non-Investigator Faculty Member who currently is or becomes an Investigator is subject to and must comply with and make disclosures as required by IIT's Investigator Conflict of Interest and Conflict of Commitment Policy.

When completing this Form, please note that “I” includes you, your spouse and dependent children. All amounts referred to are in the aggregate. For example, if you have one arrangement with an entity for a medical advisory board position for $5,000 and your spouse has an arrangement with the same entity as part of a speaker's bureau for $7,000, the aggregate amount is $12,000, and these arrangements must be reported.

You may attach additional sheets of paper as needed. If further information is required to complete any conflict analysis, the General Counsel’s Office will contact you.
DISCLOSURE FORM

1. I have received payments (e.g., salary, honoraria, consulting fees, free travel, royalty payments and/or other such remuneration) that qualify as a significant financial interest over the past 12 months or expect to receive such payments that may qualify as a significant financial interest over the next 12 months that create, may create or may be perceived to create a conflict of interest.

   □ No.
   □ Yes. Please specify:____________________________________________________

2. I have an equity interest (e.g., stock, stock options or other ownership interests) in an entity which is valued at more than $10,000 or equals more than 5% of the entity, as determined through reference to public prices or other reasonable measures of fair market value, which creates, may create or may be perceived to create a conflict of interest.

   □ No.
   □ Yes. Please specify, including how fair market value was determined:_______

3. I am a director, trustee or officer of a non-IIT affiliated entity, which creates, may create or may be perceived to create a conflict of interest.

   □ No.
   □ Yes. Please specify:____________________________________________________

I hereby certify that I have received and have read the IIT Administrator and Non-Investigator Faculty Member Conflict of Interest and Conflict of Commitment Policy, that I understand my obligations under this policy and that the above information is true and accurate as of the date hereof.

Signed: __________________________

Printed Name: ______________________

Date: ______________________________
I. Background

IIT has a long-standing policy of requiring faculty and staff members conducting funded research, regardless of the sponsor, to disclose certain financial interests. The purpose for this disclosure is to promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of such research is free from bias resulting from Investigator financial conflicts of interest.

In addition, this policy is intended to comply with applicable conflict of interest regulations, including those issued by the National Science Foundation (NSF) and Public Health Service (PHS). Specifically, the adoption and posting of this policy meets the university’s obligations under these regulations to:

- develop and enforce, and thereby be able to certify to PHS and NSF, a policy to ensure that PHS- or NSF-funded research is not biased by Investigators' financial conflicts of interest;
- inform potential Investigators of this policy and their responsibilities under it, to make the policy publically available and to establish procedures for the public dissemination of certain information related to financial conflicts of interest;
- designate institutional administrators to solicit and review financial disclosure statements from each Investigator planning to participate in funded research, including NSF- or PHS-funded research;
- provide designated administrators with guidelines for identifying financial conflicts of interest and taking action to manage, reduce or eliminate such conflicts; and,
- maintain records for the requisite period of time of all financial disclosures and all actions taken by the university with respect to financial conflicts of interest.

This policy also seeks to ensure that faculty members, as employees of the university, fulfill their commitments to IIT.

II. Definitions

**Awarding Component** means a federal, state or local government department and any organizational unit of such a department that funds research.

**Disclosure of significant financial interests** means an Investigator’s disclosure of significant financial interests to IIT.

**Financial conflict of interest (FCOI)** means a significant financial interest that could directly and significantly affect the design, conduct or reporting of funded research.
FCOI report means any report relating to financial conflicts of interest required by law to be submitted to an Awarding Component by the Institution.

Financial interest means anything of monetary value, whether or not the value is readily ascertainable.

Institutional responsibilities means an Investigator’s professional responsibilities on behalf of IIT, including, without limitation, research, research consultation, teaching, professional practice, institutional committee memberships and service on Institutional Review Boards and similar boards and committees.

Investigator means the project director or principal investigator and any other person, regardless of title or position, who is, or has been within the preceding 24 months, responsible for the design, conduct or reporting of funded research, or proposed for funding, which may include, without limitation, all full-time faculty members, collaborators, consultants and visiting and part-time faculty members with research privileges, but excludes visiting and part-time faculty members who only provide classroom instruction. Senior/key personnel, as such term is defined below, are deemed to be Investigators.

Manage means taking action to address a financial conflict of interest, which can include reducing or eliminating the financial conflict of interest, to ensure, to the extent possible, that the design, conduct, and reporting of research will be free from bias.

PD/PI means a project director or principal investigator of a funded research project; the PD/PI is included in the definitions of senior/key personnel and Investigator.

Research means a systematic investigation, study or experiment designed to develop or contribute to general knowledge in an area of study. The term encompasses basic and applied research (e.g., a published article, book or book chapter) and product development (e.g., a diagnostic test or drug). The term also includes any such activity for which research funding is available from an Awarding Component through a grant or cooperative agreement, such as a research grant, career development award, center grant, individual fellowship award, infrastructure award, institutional training grant, program project or research resources award.

Senior/key personnel means the PD/PI and any other person identified as senior/key personnel by IIT in a grant application, progress report or any other report submitted to an Awarding Component.

Significant financial interest means:
(A) A financial interest consisting of one or more of the following interests of the Investigator (and those of the Investigator’s spouse and dependent children) that reasonably appears to be related to the Investigator’s institutional responsibilities:

(1) With regard to any publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the
date of disclosure, when aggregated, exceeds $5,000. For purposes of this
definition, *remuneration* includes salary and any payment for services not
otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); *equity interest* includes any stock, stock option or other ownership interest, as
determined through reference to public prices or other reasonable measures of fair
market value;

(2) With regard to any non-publicly traded entity, a significant financial interest
exists if the value of any remuneration (as defined in (1) above) received from the
entity in the twelve months preceding the disclosure, when aggregated, exceeds
$5,000, or any equity interest (e.g., stock, stock option, or other ownership interest)
is held; and

(3) Intellectual property rights and interests (e.g., patents, copyrights) upon receipt
of income related to such rights and interests that, when aggregated, exceed
$5,000. Unlicensed, non-income generating intellectual property is excluded.

(B) Any reimbursed or sponsored travel (i.e., that which is paid on behalf of the
Investigator and not reimbursed to the Investigator so that the exact monetary value may
not be readily available) related to their institutional responsibilities; excluding travel that
is reimbursed or sponsored by (1) a Federal, state, or local government agency, (2) an
institution of higher education as defined at 20 U.S.C. 1001(a), or (3) an academic teaching
hospital, medical center or research institute that is affiliated with an institution of higher
education. With respect to such travel, the Investigator must disclose, at a minimum, the
purpose of the trip, the identity of the sponsor/organizer, the destination and the duration.
Additional information, such as a determination or disclosure of monetary value, may be
requested if needed in order to determine whether the travel constitutes an FCOI with
respect to a funded research project.

(C) Significant financial interest does not include the following: (1) salary, royalties or
other remuneration paid by IIT to the Investigator if the Investigator is currently employed
or otherwise appointed by IIT, including intellectual property rights assigned to IIT and
agreements to share in royalties related to such rights; (2) income from investment vehicles,
such as mutual funds and retirement accounts, as long as the Investigator does not directly
control the investment decisions made in these vehicles; and (3) income from seminars,
lectures or teaching engagements sponsored by (a) a Federal, state, or local government
agency, (b) an institution of higher education as defined at 20 U.S.C. 1001(a), (c) an academic
teaching hospital, medical center or research institute that is affiliated with an institution of higher
education; or (d) income from service on advisory committees or review panels for any
such entity set forth in (a) - (b).

*Small Business Innovation Research (SBIR) Program* means the extramural research
program for small businesses that is established by an Awarding Components under Public
Law 97–219, the Small Business Innovation Development Act, as amended, or Public Law
102–564, the Small Business Technology Transfer (STTR) Program, as amended.
III. INVESTIGATOR DISCLOSURE OBLIGATIONS AND INSTITUTIONAL EVALUATION OF SUCH DISCLOSURES

In order to provide for the disclosure and analysis of significant financial interests and the management of financial conflicts of interest prior to the expenditure of any funds under a funded research project, the following procedures shall be followed:

(A) On an annual basis, the General Counsel will give notice to all IIT Investigators that they need to complete their Investigator Conflict of Interest Disclosure and Conflict of Commitment Disclosure Form (“Form”), a copy of which is attached to this policy. Each Investigator must then complete the Form within 30 days of such notice. Investigators will do so using the electronic version of the Form, which is available on the Office of General Counsel webpage (http://www.iit.edu/general_counsel/) under the Conflict of Interest heading located in the left-hand column. The General Counsel will inform the Vice Provost for Research which Investigators have completed the Form. After the 30 days, IIT will not submit any proposal on behalf of any Investigator unless and until he or she has so completed and returned the Form.

(B) In addition to his or her annual obligation to complete and return the Form pursuant to Section (A), each Investigator is obligated to submit an updated Form to the General Counsel within 30 days of discovering or acquiring (e.g., through purchase, marriage, inheritance) a new significant financial interest.

(C) The General Counsel and Provost, in consultation with the Vice Provost for Research, will review each Investigator’s annual disclosure (and any updated or late disclosure) of a significant financial interest within 15 days of receipt to determine if it is related to a funded research project and, if so related, whether the significant financial interest qualifies as a financial conflict of interest. In addition, except for proposals for Investigators who have not disclose any significant financial interest, the Vice Provost for Research will notify the General Counsel prior to the submission of any new proposal to an Awarding Component so that the General Counsel and Provost may re-review the relevant Investigators’ Forms in light of the new proposal. For purposes of this policy:

(1) a significant financial interest will be deemed related to the funded research if it can reasonably be determined that the significant financial interest (a) could be affected by the funded research, or (b) is associated with an entity whose financial interest could be affected by the research; and

(2) if such a significant financial interest is determined to exist under (1) above, a financial conflict of interest will be deemed to exist if it can reasonably be determined that such interest could directly and significantly affect the design, conduct or reporting of the funded research.
The General Counsel or Provost may seek clarification or additional information from an Investigator as necessary to determine whether a significant financial interest is related to the funded research or a financial conflict of interest exists. Should the Investigator fail, on a timely basis, to provide such information or otherwise to cooperate, IIT will not submit any proposal on behalf of the Investigator and/or will not allow the Investigator to expend funds for projects that has been awarded by an Awarding Component unless and until he or she has done so.

(D) The Provost will take such actions as necessary to manage financial conflicts of interest, including any financial conflicts of a subrecipient Investigator, as more fully detailed in Article IV of this policy, development and implementation of a management plan and, if necessary, the undertaking of a retrospective review and a mitigation report.

(E) The General Counsel will maintain or have maintained IIT's official records relating to all Investigators’ disclosures of financial interests and reviews of, and responses to, such disclosures (whether or not a disclosure resulted in a determination of a financial conflict of interest) and all actions under this policy or pursuant to a retrospective review, if applicable, for the later of (1) a three year period, (2) three years from the date the final expenditures report is submitted to the Awarding Component or (3) other date specified by law or regulation. To this end, the Provost and Vice Provost for Research will forward the final versions of any such materials to the General Counsel. IIT will timely submit, or permit an onsite review of, all records pertinent to compliance with any applicable laws.

(F) In addition to IIT neither submitting any proposals on his or her behalf nor allowing him or her to expend funds for research projects funded by an Awarding Component, an Investigator who fails to comply with his or her obligations under this Article III or any management plan, retrospective review or mitigation plan pursuant to Article IV will be referred to the Provost for investigation and, consistent with applicable IIT policies, the imposition of disciplinary action as appropriate.

IV. MANAGEMENT, REPORTING AND DISSEMINATION OF FINANCIAL CONFLICTS OF INTEREST

Management

(A) If an Investigator’s disclosed significant financial interest is ever determined to relate to a funded research project and amount to a financial conflict of interest, then, within 45 days of such determination, the Provost will develop and implement a management plan, based on the particular circumstances, which specifies the actions that have been and will be taken to manage such financial conflict of interest. Examples of conditions or restrictions that may be imposed to manage a financial conflict of interest include, but are not limited to:

(1) Public disclosure of the financial conflict of interest (e.g., when presenting or publishing the research);
(2) For research projects involving human subjects, disclosure of the financial conflict of interest directly to participants;
(3) Appointment of an independent monitor capable of taking measures to protect the design, conduct and reporting of the research against bias resulting from the financial conflict of interest;
(4) Modification of the research plan;
(5) Change of personnel or personnel responsibilities, or disqualification of personnel from participation in all or a portion of the research;
(6) Reduction or elimination of the financial interest (e.g., sale of an equity interest); or
(7) Severance of relationships that create financial conflicts.

Until completion of the funded research project, the Provost will periodically monitor the management plan as necessary given the nature of the financial conflict of interest and research to ensure its effectiveness, and he or she may make modifications to the management plan as necessary to ensure its effectiveness.

(B) In addition to the development and implementation of a management plan under Section (A), to the extent required by applicable law, when a financial conflict of interest is not identified or managed in a timely manner, including failure by an Investigator to disclose a significant financial interest that is determined to constitute a financial conflict of interest, failure by IIT to review or manage such a financial conflict of interest, or failure by an Investigator to comply with a financial conflict of interest management plan, the Provost will, within 120 days of the determination of such non-compliance, complete a retrospective review of the Investigator’s activities and the funded research project to determine whether any funded research, or portion thereof, conducted during the period of non-compliance, was biased in the design, conduct or reporting of such research. The retrospective review will, at a minimum, document the following elements:

(1) Project number;
(2) Project title;
(3) PD/PI or contact PD/PI if a multiple PD/PI model is used;
(4) Name of the Investigator with the FCOI;
(5) Name of the entity with which the Investigator has a financial conflict of interest;
(6) Reason(s) for the retrospective review;
(7) Detailed methodology used for the retrospective review (e.g., methodology of the review process, composition of the review panel, documents reviewed);
(8) Findings of the review; and
(9) Conclusions of the review.

Based on the results of the retrospective review, the Provost will, as necessary, have the Vice Provost for Research update any previously submitted FCOI report, specifying the actions that will be taken to manage the financial conflict of interest going forward. If bias is found, the Provost, in consultation with the General Counsel, will, as required by law, notify the Awarding Component promptly and submit to it a mitigation report. The mitigation report must include, at a minimum, the elements documented in the retrospective review, a description of the impact of the bias on the research project and the plan of action or actions taken to eliminate or mitigate the effect of the bias (e.g., impact on the research project; extent of harm done, including any qualitative and quantitative data to support any actual
or future harm; analysis of whether the research project is salvageable). Thereafter, until completion of the funded research project, the Provost will periodically monitor the actions taken to eliminate or mitigate the bias to ensure their effectiveness, and he or she may make modifications to these actions as necessary to ensure their effectiveness.

(C) Whether as a result of a notification made pursuant to Section (B) or on the basis of a review of records or other information made pursuant to applicable law, this policy assumes that an Awarding Component will duly consider any situation that may have resulted in bias in the design, conduct or reporting of funded research and, as necessary, take appropriate action or refer matters to IIT for further action. IIT personnel will, to the full extent possible, act upon and comply with the Awarding Component’s requests.

Reporting

(D) To the extent required by applicable law, the Vice Provost for Research will, prior to the expenditure of any funds under a funded research project, provide to the Awarding Component a FCOI report regarding each Investigator’s (and each subrecipient Investigator’s) significant financial interest found to be a financial conflict of interest and ensure to the Awarding Component that it has implemented any required management plan. If permitted by applicable law, the Vice Provost for Research will not provide such report and assurance if the identified financial conflict of interest has been eliminated prior to the expenditure of any such awarded funds.

(E) For any significant financial interest identified as a financial conflict of interest subsequent to submission of an initial FCOI report under Section (D) during an ongoing funded research project (e.g., upon the participation of an Investigator who is new to the research project), the Vice Provost for Research will provide to the Awarding Component, within 60 days of such identification (or such other mandated period), an FCOI report regarding such financial conflict of interest and ensure to the Awarding Component that it has implemented any required management plan. In addition, where such FCOI report involves a significant financial interest that was not disclosed timely by an Investigator or, for whatever reason, was not previously reviewed or managed by IIT (e.g., was not timely reviewed or reported by a subrecipient), the Provost will complete a retrospective review in accordance with Section (B).

(F) In addition to any information that is required by applicable law, a FCOI report will include sufficient information to enable the Awarding Component to understand the nature and extent of the financial conflict and to assess the appropriateness of the management plan. To that end, elements of the FCOI report will include, at a minimum, the following:

1. Project number;
2. PD/PI or contact PD/PI if a multiple PD/PI model is used;
3. Name of the Investigator with the financial conflict of interest;
4. Name of the entity with which the Investigator has a financial conflict of interest;
5. Nature of the financial interest (e.g., equity, travel reimbursement, honorarium, consulting fee);
(6) Either the approximate dollar value of the significant financial interest, using dollar ranges as and to the extent provided for in the applicable law, or a statement that the interest is one the value of which cannot be readily determined through reference to public prices or other reasonable measures of fair market value;

(7) A description of how the financial interest relates to the funded research and the basis for the determination that the financial interest conflicts with such research;

(8) A description of the key elements of the management plan, including: (a) role and principal duties of the conflicted Investigator in the research project; (b) conditions of the management plan; (c) how the management plan is designed to safeguard objectivity in the research project; (d) confirmation of the Investigator’s agreement to the management plan; and (e) how the management plan will be monitored to ensure Investigator compliance.

(G) For any financial conflict of interest previously reported regarding an ongoing funded research project, the Vice Provost for Research will, for the duration of the research project, including extensions with or without funds, provide to the Awarding Component, in the time and manner specified by the Awarding Component, an annual FCOI report that addresses the status of the financial conflict of interest and any changes to the management plan. In addition to any information that is required by applicable law, such annual FCOI report shall specify whether the financial conflict is still being managed or explain why the financial conflict of interest no longer exists.

**Dissemination**

(H) To the extent required by applicable law, the Vice Provost for Research will provide public accessibility to information relating to a financial conflict of interest for a period of three years from the date that such information was last updated. Specifically, this means that he or she will provide, within five business days, a written response to a request for information concerning any significant financial interest disclosed to IIT that is still held by the senior/key personnel and determined, under Article III, Section (c), to qualify as a financial conflict of interest. Such written response will include, at a minimum, the following: the Investigator’s name; the Investigator’s title and role with respect to the research project; the name of the entity in which the significant financial interest is held; the nature of the significant financial interest; either the approximate dollar value of the significant financial interest, using dollar ranges as and to the extent provided for in the applicable law, or a statement that the interest is one the value of which cannot be readily determined through reference to public prices or other reasonable measures of fair market value; and any other information required to be provided by applicable law. The information should be current as of the date of the correspondence, and the written response will include a statement to this effect. In addition, the written response will note that the information is subject to updates, on an annual basis and within 60 days of the identification of a new financial conflict of interest and that the requestor may submit a subsequent request for such updated information if he or she desires it.

**V. INSTITUTIONAL RESPONSIBILITIES**
(A) The General Counsel will periodically review this policy to ensure its compliance with applicable laws and will maintain this policy on a publicly accessible Web site. The Vice Provost for Research, in collaboration with the General Counsel, will inform each Investigator of this policy, applicable regulations and his or her responsibilities regarding disclosure of significant financial interests.

(B) The Vice Provost for Research will require each Investigator to complete training regarding this policy and applicable regulations prior to his or her engaging in a funded research project and at least once every four years thereafter. The Vice Provost for Research will immediately provide such training to an Investigator when (1) IIT revises its financial conflict of interest policies or procedures in any manner that affects the requirements of Investigators; (2) an Investigator is new to IIT; or (3) IIT finds that an Investigator is not in compliance with this policy or a management plan. The Vice Provost for Research will document each Investigator’s completion of such training. IIT will not process an award on behalf of any Investigator who has not completed such required training, and IIT will take steps to exclude any Investigator who has not completed such required training from participating in a funded research project.

(C) To the extent required by law, the Vice Provost for Research will ensure that with respect to any funded research to be carried out by a subrecipient (e.g., subcontractors, consultants, collaborators or consortium members), IIT will incorporate as part of the written agreement with the subrecipient terms that establish whether this policy or the financial conflicts of interest policy of the subrecipient will apply to the subrecipient’s Investigators. The default position of IIT shall be that the subrecipient’s financial conflict of interest policy should apply. Accordingly, the agreement will require the subrecipient to certify that its policy complies with applicable law. When a subrecipient cannot provide such certification, the agreement will state that subrecipient’s Investigators are subject to this policy and must disclose significant financial interests that are directly related to the subrecipient’s work for IIT. In either case, the agreement will specify time period(s) for the subrecipient to report all identified financial conflicts of interest to IIT sufficient to enable IIT to provide timely any required FCOI reports. IIT will not enter into an agreement with any subrecipient that does not conform to this Section.

(D) As and to the extent required by an Agency Component, the Vice Provost for Research, in light of this policy and after due inquiry, may certify in each proposal for funding that IIT:

1. Has in effect an up-to-date, written and enforced process to identify and manage financial conflicts of interest that complies with applicable law with respect to all research projects for which funding is sought or received;
2. Promotes and enforces Investigator compliance with this policy and applicable law pertaining to disclosure of significant financial interests;
3. Manages financial conflicts of interest and provides initial and ongoing FCOI reports to Awarding Components consistent with this policy and applicable law;
4. Agrees to make information available to an Agency Component relating to any Investigator’s disclosure of a significant financial interest as well as IIT’s review of, and response to, such disclosure, whether or not the disclosure resulted in a determination of a financial conflict of interest; and
(5) Complies with applicable regulatory requirements.

(E) The Provost, General Counsel and Vice Provost for Research may delegate to any of their respective subordinates any duties or powers granted to them under this policy as each may deem necessary or appropriate to efficiently, effectively and fully implement this policy; provided that such administrators will, at all times, remain responsible for seeing that such duties or powers are duly implemented.

(F) To the full extent allowed by applicable law, this policy is not intended to obligate IIT to comply with any required rules, disclosures, reporting or other requirements with respect to SBIR funded research.

VI. Conflict of Commitment

Independent of any legal or regulatory obligations, IIT policy states that all Investigators employed full-time owe their primary professional allegiance to IIT, and their primary commitment of time and intellectual energy should be to their IIT-related duties. Whenever an individual's outside activities interfere with his or her professional obligations to IIT, a “conflict of commitment” exists.

In the case of Investigators employed part-time, this general principle applies to the extent of their employment. Investigators employed less than full-time may engage in consulting relationships and other employment to the degree that those activities do not interfere with their obligations to IIT.

The following points relate to conflicts of commitment:

1. With respect to Investigators who are faculty members, under no circumstances may their outside consulting work, or other business activities, exceed the limits imposed by the Faculty Handbook. With respect to Investigators who are not faculty members, under no circumstances may they undertake outside consulting activities without the express permission of their supervisors. No Investigator may use university resources, including facilities, personnel or equipment, except in a purely incidental way, or university confidential information, in connection with outside consulting activities or for any other purposes unrelated to the mission of the university.

2. Investigators should not allow other professional activities to detract from their primary allegiance to IIT or deny IIT a business opportunity.
APPENDIX

ILLINOIS INSTITUTE OF TECHNOLOGY
INVESTIGATOR CONFLICT OF INTEREST AND CONFLICT OF COMMITMENT DISCLOSURE FORM

Pursuant to IIT’s Investigator Conflict of Interest and Conflict of Commitment Policy (the “Policy”), all Investigators are required, on an annual basis, to disclose certain significant financial interests using the electronic version of this Disclosure Form, which is available on the Office of General Counsel webpage (http://www.iit.edu/general_counsel/) under the Conflict of Interest heading located in the left-hand column. Further, all Investigators have an on-going obligation to submit an updated Disclosure Form within 30 days of discovering or acquiring (e.g., through purchase, marriage, inheritance) a new significant financial interest. Finally, by submitting the Disclosure Form, Investigators are acknowledging that they have read and understand the Policy and agree to abide by it.

Because of federal regulatory requirements, IIT cannot, and will not, submit any proposals on an Investigator’s behalf or allow an Investigator to expend any funds for research projects funded by an Awarding Component if he or she fails to fully and accurately complete and submit this Disclosure Form and comply with the Policy.

Under the Policy, the terms “Investigator” and “significant financial interest” are defined as follows:

Investigator means the project director or principal investigator and any other person, regardless of title or position, who is, or has been within the preceding 24 months, responsible for the design, conduct or reporting of funded research, or proposed for funding, which may include, without limitation, all full-time faculty members, collaborators, consultants and visiting and part-time faculty members with research privileges, but excludes visiting and part-time faculty members who only provide classroom instruction. Senior/key personnel, as such term is defined in the Policy, are deemed to be Investigators.

Significant financial interest means:
(A) A financial interest consisting of one or more of the following interests of the Investigator (and those of the Investigator’s spouse and dependent children) that reasonably appears to be related to the Investigator’s institutional responsibilities:

(1) With regard to any publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds $5,000. For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;
(2) With regard to any non-publicly traded entity, a significant financial interest exists if the value of any remuneration (as defined in (1) above) received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds $5,000, or when any equity interest (e.g., stock, stock option, or other ownership interest) is held; and

(3) Intellectual property rights and interests (e.g., patents, copyrights) upon receipt of income related to such rights and interests that, when aggregated, exceed $5,000. Unlicensed, non-income generating intellectual property is excluded.

(B) Any reimbursed or sponsored travel (i.e., that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available) related to their institutional responsibilities; excluding travel that is reimbursed or sponsored by (1) a Federal, state, or local government agency, (2) an institution of higher education as defined at 20 U.S.C. 1001(a), or (3) an academic teaching hospital, medical center or research institute that is affiliated with an institution of higher education. With respect to such travel, the Investigator will need to disclose, at a minimum, the purpose of the trip, the identity of the sponsor/organizer, the destination and the duration. Additional information, such as a determination or disclosure of monetary value, may be requested if needed in order to determine whether the travel constitutes an FCOI with respect to a funded research project.

(C) Significant financial interest does not include the following: (1) salary, royalties or other remuneration paid by IIT to the Investigator if the Investigator is currently employed or otherwise appointed by IIT, including intellectual property rights assigned to IIT and agreements to share in royalties related to such rights; (2) income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles; and (3) income from seminars, lectures or teaching engagements sponsored by (a) a Federal, state, or local government agency, (b) an institution of higher education as defined at 20 U.S.C. 1001(a), (c) an academic teaching hospital, medical center or research institute that is affiliated with an institution of higher education; or (d) income from service on advisory committees or review panels for any such entity set forth in (a) - (c).

Other relevant terms are defined in the Policy. Accordingly, please refer to the Policy when completing the Disclosure Form.

You may attach additional sheets of paper as needed. If further information is required to complete any conflict analysis, the General Counsel’s Office will contact you.

When completing this Disclosure Form, please note that “I” includes you, your spouse and dependent children. All amounts referred to are in the aggregate. For example, if you have one arrangement with an entity for a scientific advisory board position for $3,000 and your spouse has an arrangement with the same entity as part of a speaker’s bureau for $3,000, the aggregate amount received from the entity exceeds the $5,000 threshold, and these arrangements must be reported.
Disclosures

1. With regard to any publicly traded entity, I (i) have received from such entity a payment of monetary value or remuneration (including salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship)) in the 12 months preceding this disclosure and/or (ii) hold any equity interest (including any stock, stock option or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value) in such entity as of this date of disclosure the value of which, when aggregated, exceeds $5,000.

□ No.
□ Yes. Please specify: __________________________

2. With regard to any non-publicly traded entity, I (i) have received from such entity a payment of monetary value or remuneration (including salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship)) in the twelve months preceding this disclosure the value of which, when aggregated, exceeds $5,000 and/or (ii) hold any equity interest (e.g., stock, stock option, or other ownership interest) in such entity.

□ No.
□ Yes. Please specify: __________________________

3. I hold intellectual property rights and interests (e.g., patents, copyrights) and have received income related to such rights and interests the value of which, when aggregated, exceed $5,000.

□ No.
□ Yes. Please specify: __________________________

4. I have received reimbursed or sponsored travel (i.e., that which is paid on my behalf and not reimbursed to me so that the exact monetary value may not be readily available) related to my institutional responsibilities; excluding travel that is reimbursed or sponsored by (1) a Federal, state, or local government agency, (2) an institution of higher education as defined at 20 U.S.C. 1001(a), or (3) an academic teaching hospital, medical center or research institute that is affiliated with an institution of higher education.

□ No.
□ Yes. Please specify the purpose of the trip, the identity of the sponsor/organizer, the destination and the duration: __________________________

__________________________

__________________________
5. I am a director, trustee or officer of a non-IIT affiliated entity, which creates, may create or may be perceived to create a conflict of interest.

☐ No.
☐ Yes. Please specify:________________________________________________________
________________________________________________________

I certify that I have received and have read the *IIT Investigator Conflict of Interest and Conflict of Commitment Policy*, that I understand and agree to fulfill my obligations under this policy and that the above information is true and accurate as of the date hereof.

Signed: ______________________________________

Printed Name: ________________________________

Date: ________________________________________
No IIT employee should solicit or accept for personal use, or for the use of others, any gift, favor, loan, gratuity, reward, promise of employment or any other thing of monetary value that might influence or appear to influence the judgment or conduct of the employee regarding university business or policy. Employees may accept occasional unsolicited gifts (e.g., business lunches, Christmas baskets and the like), provided the gifts (i) have a cumulative market value, in any calendar year, of under $250, (ii) are customary in the industry and (iii) will not influence or appear to influence the judgment or conduct of the employee. The application of the restrictions in this paragraph to a specific gift or favor may be waived, in writing, by the appropriate Vice President. Such an exemption must be in writing with a statement of the pertinent reasons for exemption.
I. Reports of Possible Wrongdoing
   
   A. Whistleblowers

   As a matter of general policy, IIT encourages its faculty, employees and students to report alleged or potential misconduct or wrongdoing either to an appropriate university official or anonymously on EthicsPoint. IIT cannot investigate alleged or potential misconduct or wrongdoing and it cannot take corrective action, if appropriate, unless the university is made aware of the alleged or potential misconduct or wrongdoing.

   B. EthicsPoint

   EthicsPoint is a phone- and internet-based reporting system designed to enable faculty and staff to promote safety, security and ethical behavior in the workplace by providing for the confidential reporting of possible misconduct. EthicsPoint not only allows for the protection of anonymity but also manages the reporting system for IIT, which ensures that the program is completely confidential.

   EthicsPoint permits the reporting of possible misconduct as it relates to the following areas:

   Financial Matters: Accounting, Auditing, Theft, and Donor Stewardship
   Research: All issues dealing with Research.
   Human Resources: Misconduct, Harassment and Time Abuse.
   Information Technology: Data Privacy and Misuse of Resources.

   EthicsPoint also has an “Other” option to report anything not covered in the list above. EthicsPoint is not designed to report a situation where an immediate threat to safety exists. In such instances, one should contact 911 or the university Public Safety Department (ext. 8-6363).

   EthicsPoint is at www.ethicspoint.com. One may also call 1.866.294.9314 to learn more about the program or to make a report. Again, everything reported is confidential as guaranteed through the EthicsPoint administrative system.
II. No Retaliation

Neither IIT nor any supervisory employee or faculty member of IIT should take any retaliatory action against an IIT faculty member, student or employee because he or she, acting in good faith, discloses, threatens to disclose or is about to disclose an activity, policy or practice that the employee reasonably believes violates the law or IIT policy or procedures.

III. Duty to Cooperate

Every member of the university community – faculty, employees and students – has a duty to cooperate with the university, including, but not limited to, the General Counsel’s Office and any counsel retained by the university, in the initiation and defense of actual or contemplated litigation affecting the interests of the university and in the conduct of any investigation of alleged or potential misconduct or wrongdoing by the General Counsel’s Office, any counsel retained by the university or any other duly authorized university officer.
I. Purpose

In the conduct of its educational and research programs, IIT is a party to many kinds of contracts. This policy defines the authority of specified IIT officials to enter into transactions that commit university resources or otherwise legally obligates the university.

An individual does not have authority to initiate or to enter into a contract or transaction, and should not represent that he or she has authority, unless such authority is specifically provided for in this or other policy documents or corporate resolutions. If authority is not clear, the General Counsel's Office should be consulted. IIT shall have no obligation to honor contracts or transactions entered into that are not in compliance with this policy.

II. Institutional Authority

IIT’s corporate governance documents give the president and vice presidents authority to contract. To facilitate the process for negotiation and approval of contracts, the president, who may execute any contract, has delegated certain contractual authority and responsibility to specific staff positions that, within the limitations specified below, are empowered to enter into contracts on behalf of IIT. Said authority and responsibility is in addition to any other such authority and responsibility that may be specifically authorized by resolution of the Board of Trustees or its Executive Committee.

Certain types of transactions, such as those involving bank accounts, bequests, real estate, capital projects and other substantial transactions, may require approval by the Board of Trustees. The individual handling the transaction should ensure that the transaction has the necessary approval. If it is unclear whether such approval is required, the General Counsel's Office should be consulted.

As discussed more fully in Section V below, although certain types of transactions may require review and approval regardless of size, in general, all contracts for goods and/or services in excess of $100,000 must be submitted to the General Counsel's Office for review. If there are incremental orders with a single vendor that will exceed $100,000 in total over any 12-month period, then there must be a contract with the vendor and it must be reviewed by the General Counsel's Office. Regardless of the dollar amount, the General Counsel's Office will, upon request, review any contract.
III. Contract Requirements

The individual approving any transaction forming a commitment between IIT and a third party is responsible and accountable for assuring that:

1. He or she has the authority to approve the transaction or execute a contract.

2. Where required, all appropriate institutional reviews and approvals have been obtained in advance of any commitment being made.

3. The transaction complies with all applicable federal, state and local laws as well as conforms to all applicable IIT policies, including, without limitation, those relating to equal employment opportunity, minority and women-owned business contracting, privacy and health and safety.

4. If the transaction involves acquisition or disposal of hazardous substances, it has been approved by IIT’s Director of Environmental Health and Safety.

5. Where appropriate, an assessment has been made of the likely impact of the transaction on other elements of IIT and the broader community and appropriate consultation has taken place with any constituencies that might be impacted.

6. Funds for the transaction have been allocated or are otherwise available within regularly approved budgets, special appropriations or restricted or designated accounts.

7. No real or apparent conflict of interest exists on the part of the approving individual or any other individual organization involved in the transaction, and where a real or apparent conflict of interest does exist, it is resolved, prior to entering into the transaction.

IV. Authorized Signatories

<table>
<thead>
<tr>
<th>Type of Transaction</th>
<th>Responsible Individual(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bank accounts</td>
<td>Chief Financial Officer or Controller</td>
</tr>
<tr>
<td>Benefits-related contracts and human resources related agreements</td>
<td>Chief Financial Officer or Associate Vice President of Human Resources</td>
</tr>
<tr>
<td>Faculty contracts</td>
<td>Provost or as designated by the Provost, the relevant Dean</td>
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<tr>
<td>Financial aid</td>
<td></td>
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<tr>
<td>Participation agreements</td>
<td>Chief Financial Officer or Director of Financial Aid</td>
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<tr>
<td>Type of Transaction</td>
<td>Responsible Individual(s)</td>
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<tr>
<td>--------------------------------------------------------</td>
<td>------------------------------------------------------------------------</td>
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<tr>
<td>Loan agreements</td>
<td>Director of Financial Aid</td>
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<tr>
<td><strong>Financial matters</strong></td>
<td></td>
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<tr>
<td>Audit/other related services</td>
<td>Chief Financial Officer</td>
</tr>
<tr>
<td>Borrowings and investments</td>
<td>Chief Financial Officer</td>
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<td>President, with information on transaction to be presented to the Executive Committee of the Board of Trustees; provided that the President may authorize the appropriate Vice President to execute such contract upon the President’s approval of the contract</td>
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V. **General Counsel's Office**

The General Counsel is responsible for rendering legal advice to all authorized representatives of IIT. The General Counsel's Office should be consulted in a timely fashion where appropriate to assure that contracts and other agreements fully protect the rights and other interests of IIT, conform to university policy, and are consistent with all applicable laws. The General Counsel's Office is available to assist with the legal aspects of any contract provision. Contracting officers are required to consult with the General Counsel's Office prior to execution of (i) any contract with a value that equals or exceeds $100,000, or (ii) when, in the judgment of the contracting officer, the agreement includes provisions which pose a substantial risk to IIT or includes new, non-standardized provisions with which the officer is not familiar.

VI. **Indemnification**

IIT will defend any IIT employee against legal claims based upon an act, omission or transaction that arises within the scope of IIT employment and in the performance of authorized duties. This policy should be considered in relation to these procedures as the protections afforded by the indemnification policy do not extend to personal, unofficial or unauthorized acts, omissions and transactions.
I. User Responsibility

A. The proper use of all IIT computer accounts and technological resources, including computers, E-mail, Google Apps for Education, Internet, printers, software, servers, voice and data networks and any and all other computer peripherals (collectively, “Technology Resources”), is the personal responsibility of each individual. Use of Technology Resources, whether by faculty, students or staff (collectively, “Users”), must be consistent with institutional policies governing the conduct, including those regarding plagiarism, discrimination, cheating, harassment and theft. Users must never represent or imply that the opinions that they express on or through Technology Resources are the views of IIT.

B. Technology Resources are made available to support the academic mission, programs and activities of IIT. Use of Technology Resources is a privilege that is not to be abused, and it can be taken away without prior notice and consent or when required by law or when a substantiated reason exists to believe that violations of law or policy have occurred. In time-sensitive cases, access may be restricted to meet critical operational needs. Any inappropriate, illegal, unethical or immoral use constitutes a violation of this policy regardless whether it is specifically identified herein.

C. Each User is responsible for the storage of personal files created on IIT Technology Resources. Hard drives and other means of storage are routinely cleared of files. IIT will not be liable, under any circumstances, for files stored on or deleted from its hard drives or other means of storage.

D. Each User is responsible for taking reasonable care for the security of his or her campus account and password. For example, one should change his or her password frequently and not employ an obvious or simple password (e.g., your name, your pet’s name or your birthdate). It is recommended that passwords consist of a combination of both numbers and letters. One should not under any circumstances give his or her password to another person. Each User must also recognize that IIT has limited means of preventing unsolicited communications from within and outside of the IIT network. Users who receive threatening or inappropriate communications should bring them to the attention of the appropriate network administrator, Office of General Counsel, Office of Human Resources or the Office of Student Affairs.

II. Examples of Appropriate Uses of Technology Resources Include, But Are Not Limited to:

A. Faculty and student research;
B. Class assignments; and

C. Instructional uses.

III. Examples of Inappropriate Uses of Technology Resources Include, But Are Not Limited to:

A. Using Technology Resources for commercial purposes;

B. Sending unsolicited, annoying or obscene messages or E-mail to another computer or computer user;

C. Utilizing a false identity in obtaining or utilizing an E-mail account or to gain access to a Technology Resource;

D. Displaying adult web sites (especially those self-identified as such) or other obscene materials in public computer laboratories;

E. Examining or attempting to examine another user's files, accounts or E-mail, without explicit permission by the owner of those files or E-mail;

F. Interrupting, hindering, damaging or otherwise interfering with the normal operation of the computer laboratories, systems, wired and/or wireless data networks and voice systems, including, but not limited to, port scanning, IP spoofing, network analysis, network monitoring, illegal logins, running traffic-generating applications, installing any software or program code that is intended to or likely to result in the eventual damage to or degradation of the performance of Technology Resources, or using Technology Resources to perform acts that are deliberately wasteful of computing resources;

G. Posting copyrighted text or images on a webpage without the owner’s permission or in any other way violating copyright laws, including, but not limited to, the use of peer-to-peer file sharing applications to illegally transmit music, software, movies or other protected materials; and

H. Using Technology Resources to engage in or further any fraudulent or criminal act or to violate IIT policies, including, but not limited to, monitoring, in any way, another User's data communications, gaining or attempting to gain access to remote computers, infringing the rights of other Users to use Technology Resources, or violating the terms of software licensing agreements.

IV. Privacy Issues and Access to Files

A. Users have only a limited right to privacy in their electronic and voice mail. IIT does not monitor, review or perpetually archive material prior to or after transmission on Technology Resources. Authorized IIT staff will treat all electronically stored information as confidential, but they may have access to, examine and/or disclose information when (i) the owner of the information authorizes disclosure, (ii) a User is suspected of violating IIT policies or local, state
or federal law, including, but not limited to, laws regarding harassment, copyright, libel and defamation of character, (iii) administrators are performing routine or necessary services to maintain or enhance the operations of the Technology Resources, or (iv) an employee is terminated and his or her files are need in the course of operations at IIT.

IIT’s E-mail and Google Apps services are remotely hosted by Google, and hosting can occur at one or more Google facilities located throughout the world. Google reserves the right to administer all accounts in accordance with the Google Terms of Service (http://www.google.com/intl/en/policies/terms/).

B. The Google Apps for Education system at IIT exists to provide a convenient (not confidential) way of communicating between students and faculty, between colleagues and friends. It is expected that Users will use common courtesy in the use of E-mail. Examples of inappropriate use include, but are not limited to:

(1) Re-posting (forwarding) personal communication, intended to be confidential, without the author’s prior consent;

(2) “Chain letters,” “broadcasting” messages to lists or individuals, and other types of use which would cause congestion of the networks or otherwise interfere with the work of others are not allowed; and

(3) Anonymous and/or fraudulent posting of email messages.

C. Google Apps provides tools for public communication and cannot be guaranteed to be private. Users are advised to be discreet. Issues of personal privacy and data confidentiality are important to IIT. Generally, personal data will only be accessed in accordance with Section IV.A. Systems and network administrators do have access to files in the IIT Google Apps environment. In the course of routine system maintenance, trouble-shooting and mail delivery problem resolution, staff may see the content of email messages; however, these individuals are prohibited from accessing personal files except as otherwise stated Section IV.A.

D. Google Apps accounts for students and employees are provisioned, maintained and disabled in accordance with the IIT Employee Google Apps Account and Usage Procedures and IIT Student Google Apps Account and Usage Procedures available at http://www.iit.edu/ots/our_policies.shtml

V. Intellectual Property

As indicated in Sections III.G and III.H, it is a violation of this Policy to use IIT Technology Resources to engage in any activity that would infringe or violate the copyrights or other intellectual property interests of others. All communications and information accessible via the Internet should be assumed to be copyrighted and should be accessed and re-distributed only in accordance with copyright rules. When sources found on the Internet are cited, the name, date and location of the information must be included.
IIT reminds students, faculty and staff that it is a violation of federal law to infringe or violate another party’s copyright. Owners of registered copyrights can enforce their rights by bringing a civil suit. In addition, criminal prosecution can be brought by the United States Attorney, and Customs and Postal officials may seize and impound infringing articles. The penalties for infringement can be substantial. In civil actions brought by the copyright owner, a court may order forfeiture and/or destruction not only of all infringing articles but also of any implements used to manufacture the infringing articles. In addition to obtaining an order stopping the infringement and ordering destruction of infringing articles, the court can order payment of any provable damages, including lost profits. The copyright owner can elect to receive “statutory damages”. The minimum amount of statutory damages that can be awarded for copyright infringement is $750; the maximum amount is $30,000. If the infringement was willful, the potential statutory damage award is increased to $150,000 for each act of infringement. In addition, attorneys’ fees may be awarded. Further, all willful copyright infringement is a criminal offense, subject to prosecution. The criminal penalties for a first time conviction for willful infringement range, on the low end, from a prison sentence of up to one year and a fine of up to $5000 to five years in prison and a fine of up to $250,000 on the high end. Second and subsequent offenses can carry a prison term of up to ten years in addition to the fine.

VI. Web Page Responsibilities

The Office of Technology Services (OTS) and the Center for Law and Computers (CLC) have devised specific rules and procedures applicable to IIT-related web pages. All web pages contained within the iit.edu and kentlaw.edu domains or served on IP addresses owned by IIT are subject to the following content guidelines, as well as all other applicable IIT policies.

A. OTS and CLC are responsible for the web servers only, including maintenance, infrastructure and reasonable security. OTS and CLC are not responsible for any web page content or hyperlinks. Links from www.iit.edu and www.kentlaw.edu main pages to the organization and department pages are maintained by the Office of Communications and Marketing at the Main Campus and the Office of Public Affairs at the Downtown Campus.


C. All other web pages contained within, except for individual faculty, staff and student pages, should follow the design standards set forth by the Office of Communications and Marketing and the Office of Public Affairs, as applicable.

D. All pages must clearly display at the bottom of the page the name and email address of the person responsible for the page.
E. Pages cannot contain or transmit any information that is illegal, pornographic, defamatory, obscene or harassing.

F. Users are prohibited from serving pages that conduct electronic commerce or contain paid advertising. Pages must not cause interference with the ability of other users to access network resources.

G. Pages that do not meet acceptable use or content standards are subject to immediate removal, and Users are subject to the suspension of web privileges as well as further disciplinary procedures as appropriate.

H. Student organizations and private, individual pages should link to a disclaimer stating that the content does not express the views of IIT.

VI. Compliance Procedure:

Inappropriate uses of Technology Resources should be reported to the Office of Technology Services via abuse@iit.edu. Security related questions and issues should be directed to security@iit.edu. Anyone discovered to be hindering normal operations or making inappropriate use of Technology Resources will be contacted and appropriate action taken. Upon report of a violation, the User may be denied access to IIT Technology Resources. All pertinent information on the alleged violation will be given to the appropriate IIT official who may then take action in accordance with applicable policies.
I. Purpose

In today’s work environment, employees create and maintain an increasing number of records, and an ever larger percentage of these records are being created and maintained using computers, in particular e-mail systems. Electronic records, including e-mails, must be managed to the same extent as traditional records to ensure compliance with applicable laws and to preserve institutional history. Moreover, electronic records and e-mails are like traditional records in that they can be shared with unintended parties and must be disclosed during discovery. Accordingly, when creating an e-mail, one should consider carefully what he or she says in the e-mail and how it is said, just as if he or she were creating a hard copy, especially as an e-mail, unlike a hard copy, is not readily subject to being destroyed.

This policy is intended to facilitate the establishment of reasonable record retention programs for all university records, including which records should be retained and for how long, so as to ensure that university records are maintained in accordance with all applicable legal and policy requirements while providing for the efficient and effective use of the university’s limited storage capacity.

Any questions regarding the application of this Policy to a specific record or e-mail should be addressed to the General Counsel’s Office.

II. Scope

This policy applies to all IIT employees. It covers all university records (meaning all books, papers, digitized electronic material, maps, photographs, databases, or other official documentary materials, regardless of physical form or characteristics) that meet the following criteria:

1. are final versions;
2. are made or received by a department in the transaction of university business; and
3. are preserved or appropriate for preservation as evidence of the organization, function, policies, decisions, procedures, operations or other activities of the university or because of the informational data contained therein.

III. Policy

A. General. The heads of all university departments shall ensure that records are preserved, retained and disposed of in accordance with this Policy and the time periods specified in Appendix A hereto. Records should be stored and secured in a manner that is reasonable and appropriate given the nature of the records, giving due consideration to
whether records contain personal or sensitive information, the frequency with which the record will need to be retrieved, the value of the record and the costs that would arise from the record being lost or damaged. The head of a department may develop a department specific record retention policy that supplements this Policy, provided that such supplemental policy is consistent with the provisions of this Policy and is filed with the Office of General Counsel.

B. Specifics. With respect to preserving, retaining and disposing of records, the head of each department shall ensure compliance with the following requirements:

1. Records should be preserved in a secure manner that allows for their reasonable recall and be retained in accordance with all laws that may be applicable to each specific record. Laws to consider include, but are not limited to, the Internal Revenue Code, the Health Insurance Portability and Accountability Act (HIPAA), the Family Educational Rights and Privacy Act (FERPA), the Occupational Safety and Health Act (OSHA), the Illinois Wage Payment and Collection Act and relevant federal and state environmental statutes.

2. Records should be disposed of upon the expiration of any retention period required by law, the retention period provided for by Appendix A hereto or any department-specific supplemental record retention policy, whichever is last to occur, and the following procedures should be followed in disposing of records:
   a. Verify that the disposal of the records does not violate any statutory, contractual or accreditation obligations;
   b. Confirm that the records to be disposed of do not relate to or contain information regarding actual or threatened litigation, as such records are subject to Section B(5);
   c. Give due consideration to whether the records may be of value to the IIT Archives; and
   d. Ensure that records which contain student information or sensitive and/or confidential information are shredded or otherwise rendered unreadable prior to disposal.

3. Work-related e-mail is a record, and it must be treated as such. Each e-mail user must take responsibility for sorting out personal messages from work-related messages, and all work-related messages must be preserved, retained and disposed of as required by this Policy and its Appendix A and any department-specific supplemental record retention policy. Spam should be disposed of immediately, and any personal e-mails should be disposed of in a timely manner so that university servers are not unduly burdened. Work related e-mails that do not fall under one of the topics provided for in Appendix A are not required to be maintained for a prescribed period of time and should be disposed of when no longer needed.
4. In general, university servers are not intended for long-term record retention, and any electronic record that is required to be retained beyond three (3) years should be printed out and filed in similar fashion to paper records or transferred to a CD or other such format and appropriately stored. E-mails messages should be kept with any attachment(s), and the printed copy of the e-mail should contain the following header information:

   a. Who sent the message,
   b. To whom the message was sent,
   c. The date and time that the message was sent, and
   d. The subject of the message.

5. In the event of actual or threatened litigation against IIT or one of its employees, the law imposes a duty upon IIT to preserve all documents and records pertinent to the litigation. In the event or upon the threat of litigation, the General Counsel's Office will send individuals potentially affected by the litigation an e-mail (comparable to the text set forth in Appendix B) instructing them to preserve any relevant records until further notice, even though such preservation would otherwise no longer be required under this Policy.

C. Policy Publication. The head of each department should take reasonable steps to ensure that his or her employees are aware of this Policy (and any department-specific supplemental record retention policy), including, but not limited to, informing, either orally or in writing, his or her employees of this Policy and referencing it on his or her department's webpage.

D. Former Employees. When an employee leaves a department or the university, the employee's immediate supervisor is responsible for ensuring that any records, including electronic records and e-mails, in the separating employee's possession are properly maintained and retained and that responsibility for these records is transferred to an appropriate person. Further, the supervisor is responsible for contacting the Office of Technology Services to arrange for the transfer of the employee's electronic records as needed before accounts are deleted.
APPENDIX A

RETENTION PERIOD FOR RECORDS

The Responsible Department is the department responsible for ensuring that all records applicable to the particular category are preserved, retained and disposed of in accordance with this Policy. The head of the Responsible Department (or his or her designee) should take all necessary steps, including coordinating with other departments, as needed to meet these obligations, which may include coordination with the IIT Archives. Nothing in this Policy is intended to prohibit a Responsible Department from providing back-up copies of a record to another department.

As this Policy is intended to apply across the university, a Responsible Department may wish to adopt a department-specific record retention policy, in accordance with Section III.A, in order to clarify its obligations.

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| Faculty Handbook, Procedures Manual, Safety Policies &amp; Procedures | Permanent – General Counsel’s Office |</p>
<table>
<thead>
<tr>
<th>RECORD CATEGORY</th>
<th>RETENTION SCHEDULE / RESPONSIBLE DEPARTMENT</th>
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</thead>
<tbody>
<tr>
<td>Human Resources Policies &amp; Procedures</td>
<td>Permanent – Human Resources Department</td>
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<tr>
<td>Student Handbook</td>
<td>Permanent – Dean of Students' Office</td>
</tr>
<tr>
<td>Accounting Manual</td>
<td>Permanent – Accounting Department</td>
</tr>
<tr>
<td>Purchasing Policies</td>
<td>Permanent – Purchasing Department</td>
</tr>
<tr>
<td>Other handbooks, manuals and policies</td>
<td>Permanent – Applicable Department</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> The most up-to-date version must be permanently kept by the applicable department. Older versions, whether whole or parts, should be kept for a period of 4 years from the date that the newest version takes effect.</td>
</tr>
<tr>
<td>Handbooks and policies &amp; procedures (Older Versions)</td>
<td>4 years -- Applicable Department</td>
</tr>
<tr>
<td>Publications, articles, information about faculty, staff and students</td>
<td>Applicable Department until no longer needed then Archives</td>
</tr>
<tr>
<td>Publicity materials, press releases, publications and reports</td>
<td>Communication &amp; Marketing until no longer needed then Archives</td>
</tr>
<tr>
<td><strong>Advancement</strong></td>
<td></td>
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<tr>
<td><strong>Alumni</strong></td>
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<tr>
<td>Alumni biographical files</td>
<td>Institutional Advancement until no longer needed then Archives</td>
</tr>
<tr>
<td>Reunion class files</td>
<td>Institutional Advancement until no longer needed then Archives</td>
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<tr>
<td><strong>Corporate &amp; Foundations</strong></td>
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</tr>
<tr>
<td>Donor files (hard copy)</td>
<td>6 years – Institutional Advancement</td>
</tr>
<tr>
<td>Donor files (electronic)</td>
<td>Permanent – Institutional Advancement</td>
</tr>
<tr>
<td><strong>Development</strong></td>
<td></td>
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<tr>
<td>Donor files (hard copy)</td>
<td>6 years – Institutional Advancement</td>
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<tr>
<td>Donor files (electronic)</td>
<td>Permanent – Institutional Advancement</td>
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<tr>
<td>Planned giving</td>
<td>Permanent – Institutional Advancement</td>
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<td>Gift processing information</td>
<td>Permanent – Institutional Advancement</td>
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<tr>
<td><strong>Special Events</strong></td>
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<tr>
<td>Files on university events</td>
<td>As needed – Institutional Advancement</td>
</tr>
<tr>
<td>Official university-related special events: summary list of events, speakers and dates; memorabilia of special dinners, building openings; comparable material</td>
<td>Institutional Advancement until no longer needed then Archives</td>
</tr>
<tr>
<td>RECORD CATEGORY</td>
<td>RETENTION SCHEDULE / RESPONSIBLE DEPARTMENT</td>
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</tr>
<tr>
<td><strong>Affirmative Action / Employment Equal Opportunity</strong></td>
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<tr>
<td>Presidential search records</td>
<td>Permanent – General Counsel’s Office</td>
</tr>
<tr>
<td>Academic searches, reviews, including self-evaluations, promotions and employment records, including documents related to such matters and decisions</td>
<td>3 years – Provost’s Office should maintain such records for deans, the applicable dean’s office should maintain such records for chairs, and the applicable chair’s office should maintain such records for faculty members</td>
</tr>
<tr>
<td><strong>Note</strong>: All academic appointment letters are to be maintained by the Provost’s Office; all other employment records, including benefits records, are to be maintained by HR.</td>
<td></td>
</tr>
<tr>
<td><strong>Affirmative action programs</strong></td>
<td>Permanent – General Counsel’s Office</td>
</tr>
<tr>
<td>Documents supporting non-academic search and employment records</td>
<td>3 years from effective date of decision – Human Resources Department</td>
</tr>
<tr>
<td>Federal and state required statistics and reports</td>
<td>6 years – General Counsel’s Office</td>
</tr>
<tr>
<td>Sexual harassment, Title VI, Title IX, ADA and Rehabilitation Act complaints, investigations, findings and requests for accommodations</td>
<td>No action or cause finding: 3 years – General Counsel’s Office</td>
</tr>
<tr>
<td>Action or cause findings: Permanent – General Counsel’s Office</td>
<td></td>
</tr>
<tr>
<td><strong>Grievances – academic and non-academic</strong></td>
<td>No action or cause finding: 4 years – Appropriate Department</td>
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<tr>
<td>Action or cause findings: Permanent – Appropriate Department</td>
<td></td>
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<tr>
<td><strong>Board of Trustees</strong></td>
<td></td>
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<tr>
<td>Proceedings of the trustee board and committees, including, but not limited to, minutes, bylaws and resolutions</td>
<td>Permanent – General Counsel’s Office</td>
</tr>
<tr>
<td>Articles of Incorporation</td>
<td>Permanent – General Counsel’s Office</td>
</tr>
<tr>
<td><strong>Contracts</strong></td>
<td></td>
</tr>
<tr>
<td>Design and construction contracts</td>
<td>6 years after completion of construction – Design and Construction Department</td>
</tr>
<tr>
<td>Leases of more than a year with third parties (except student housing leases)</td>
<td>10 years after expiration – Rental Property Management Department or Campus Reservation Office, as applicable</td>
</tr>
<tr>
<td>Leases of less than a year with third parties (except student housing leases)</td>
<td>4 years after expiration – Rental Property Management Department or Campus Reservation Office, as applicable</td>
</tr>
<tr>
<td>RECORD CATEGORY</td>
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</tr>
<tr>
<td>Reservations of classrooms and other building spaces to university-related parties, including student groups</td>
<td>2 years after expiration – Campus Reservation Office or Registrar’s Office, as applicable</td>
</tr>
<tr>
<td>Student Housing Leases</td>
<td>7 years after expiration – Housing Department</td>
</tr>
<tr>
<td>Other contracts (except related to sponsored research, intellectual property or real estate – see relevant listing)</td>
<td>10 years after termination</td>
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<tr>
<td>Equipment warranties</td>
<td>Life of equipment – Applicable Department</td>
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<tr>
<td><strong>Environmental Health &amp; Safety</strong></td>
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<tr>
<td>Records of inventory, use and control of radioactive materials</td>
<td>30 years – Facilities Department</td>
</tr>
<tr>
<td>General/industrial hygiene sampling records</td>
<td>5 years – Facilities Department</td>
</tr>
<tr>
<td>Air quality sampling records</td>
<td>5 years – Facilities Department</td>
</tr>
<tr>
<td>Chemical inventories, including material safety data sheets</td>
<td>30 years after end of year or end of use of chemical – Facilities Department</td>
</tr>
<tr>
<td>Fire and evacuation drill records</td>
<td>4 years – Facilities Department</td>
</tr>
<tr>
<td>Fire protection system records and testing</td>
<td>5 years – Facilities Department</td>
</tr>
<tr>
<td><strong>Note:</strong> Records related to periodic testing of portable extinguishers need only be kept as long as such equipment is in use</td>
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</tr>
<tr>
<td>Hood testing records</td>
<td>3 years – Facilities Department</td>
</tr>
<tr>
<td>Hazardous or toxic waste generation records and disposal manifests and records</td>
<td>5 years – Facilities Department</td>
</tr>
<tr>
<td>Material and personnel hoists and elevator standards and certification records</td>
<td>4 years – Facilities Department</td>
</tr>
<tr>
<td>Records of inspection, performance, exercising period and repairs of emergency power equipment</td>
<td>4 years – Facilities Department</td>
</tr>
<tr>
<td>Mechanical and electrical equipment testing and checks</td>
<td>4 years – Facilities Department</td>
</tr>
<tr>
<td>Various safety training records</td>
<td>3 years – Facilities Department</td>
</tr>
<tr>
<td>Internal safety inspections</td>
<td>3 years after last inspection or corrective action taken, whichever is longer – Facilities Department</td>
</tr>
<tr>
<td>OSHA required records relating to occupational injury or illness</td>
<td>5 years – Facilities Department</td>
</tr>
<tr>
<td>Employee exposure to hazardous substances, asbestos, blood borne pathogens and the like and related reports and medical records</td>
<td>Duration of the employee’s employment plus 30 years – Facilities Department</td>
</tr>
<tr>
<td><strong>Note:</strong> If an exposure, this time period trumps any other retention period.</td>
<td></td>
</tr>
<tr>
<td>RECORD CATEGORY</td>
<td>RETENTION SCHEDULE / RESPONSIBLE DEPARTMENT</td>
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<tr>
<td>Faculty Council</td>
<td>Permanent – Provost’s Office</td>
</tr>
<tr>
<td>Proceedings of the Faculty Council and its committees, including, but not limited to, minutes, by-laws and resolutions</td>
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<tr>
<td>Finance Matters</td>
<td>Permanent – CFO’s Office</td>
</tr>
<tr>
<td><strong>Accounting</strong></td>
<td></td>
</tr>
<tr>
<td>Account reconciliations (balance sheet)</td>
<td>7 years – Controller’s Office</td>
</tr>
<tr>
<td>Original journal or budget entries and supporting documentation</td>
<td>7 years – Controller’s Office</td>
</tr>
<tr>
<td>Travel expense reports and supporting documentation</td>
<td>7 years – Controller’s Office</td>
</tr>
<tr>
<td>Trial balances</td>
<td>7 years – Controller’s Office</td>
</tr>
<tr>
<td>Audited university financial statements and work papers</td>
<td>Permanent – CFO’s Office</td>
</tr>
<tr>
<td>Internal university audit and finance related reports, statements and work papers</td>
<td>7 years – CFO’s Office</td>
</tr>
<tr>
<td>Annual approved university budgets</td>
<td>7 years – CFO’s Office</td>
</tr>
<tr>
<td>Accounts Payable – invoices, credit card statements, vouchers &amp; supporting information</td>
<td>7 years – Controller’s Office</td>
</tr>
<tr>
<td>Banking related records, including loans and letters of credit</td>
<td>7 years – Controller’s Office</td>
</tr>
<tr>
<td>Cash receipts</td>
<td>7 years – Controller’s Office</td>
</tr>
<tr>
<td>Capital equipment records, including depreciation records</td>
<td>Life of Asset – Controller’s Office</td>
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<tr>
<td><strong>Payroll</strong></td>
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</tr>
<tr>
<td>Effort certification</td>
<td>7 years – Controller’s Office</td>
</tr>
<tr>
<td>Indirect cost rate calculations</td>
<td>7 years – Controller’s Office</td>
</tr>
<tr>
<td><strong>Note:</strong> Records of equipment purchased with federal funds must be retained for 3 years after disposition</td>
<td></td>
</tr>
<tr>
<td>Annual payment records, such as W-2s and alpha and employee transaction lists</td>
<td>Permanent – Payroll Department</td>
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<tr>
<td>Imputed income records</td>
<td>6 years – Payroll Department</td>
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<tr>
<td>Payroll information returns (federal and state)</td>
<td>6 years – Payroll Department</td>
</tr>
<tr>
<td>Payroll Deduction Authorization Forms</td>
<td>5 years after end of employment – Payroll Department</td>
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<tr>
<td>Wage assignment orders</td>
<td>5 years after expiration – General Counsel’s Office</td>
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<tr>
<td>Records of payments and deductions</td>
<td>5 years – Payroll Department</td>
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<tr>
<td>Time sheets</td>
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<td>RECORD CATEGORY</td>
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<tr>
<td><strong>Purchasing</strong></td>
<td><strong>Tax-Related Documents</strong></td>
</tr>
<tr>
<td>Purchase orders and invoices and supporting information</td>
<td>7 years – Purchasing Department</td>
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<tr>
<td><strong>Tax-Related Documents</strong></td>
<td><strong>Health Records</strong></td>
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<tr>
<td>Income tax and informational returns</td>
<td>Permanent – Controller’s Office</td>
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<tr>
<td>Excise and sales tax returns</td>
<td>6 years – Controller’s Office</td>
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<tr>
<td>IRS rulings and determination letters</td>
<td>Permanent – General Counsel’s Office</td>
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<tr>
<td><strong>Health Records</strong></td>
<td><strong>Human Resources</strong></td>
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<tr>
<td>Student medical and counseling records</td>
<td>7 years after graduation or last visit – Counseling Center and Student Health Center</td>
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<td>Student immunization records</td>
<td>60 years – Student Health Center</td>
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<tr>
<td>Employee medical records</td>
<td>Non-Regulatory Required Monitoring: 10 years after separation from university – Appropriate Department</td>
</tr>
<tr>
<td></td>
<td>Regulatory Required Monitoring: 30 years after separation from university – Appropriate Department (See also Employee Exposure under Environmental Health &amp; Safety)</td>
</tr>
<tr>
<td>Athletic injury files</td>
<td>4 years – Athletics’ Department</td>
</tr>
<tr>
<td><strong>Human Resources</strong></td>
<td><strong>Employment Records</strong></td>
</tr>
<tr>
<td>Records, including medical records provided specifically and exclusively for leave-related purposes, relating to leave under family and medical leave act and other leave policies</td>
<td>3 years – Human Resources Department</td>
</tr>
<tr>
<td>Personnel files of employees, including, but not limited to, applications, resumes, background checks, in-service and training records, and performance appraisals</td>
<td>5 years after termination – Human Resources Department</td>
</tr>
<tr>
<td>Applications of individuals who applied for positions but were not selected for employment</td>
<td>2 years after the relevant employment search has concluded – Human Resources Department</td>
</tr>
<tr>
<td>I-9 Forms (non-students)</td>
<td>3 years or 1 year after termination, whichever is greater – Human Resources Department</td>
</tr>
<tr>
<td>I-9 Forms (students)</td>
<td>3 years or 1 year after termination, whichever is greater – Payroll Department</td>
</tr>
<tr>
<td>Records related to eligibility of foreign national to work in United States</td>
<td>3 years – Human Resources Department</td>
</tr>
<tr>
<td>Individual contracts of employment</td>
<td>6 years after termination – Human Resources Department</td>
</tr>
<tr>
<td>RECORD CATEGORY</td>
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<tr>
<td>Union Related Matters</td>
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<tr>
<td>Collective bargaining agreements</td>
<td>Permanent – Human Resources Department</td>
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<tr>
<td>Records of activities related to union organization, including attempts that do not result in a contract</td>
<td>7 years from conclusion of contract and any attempts that do not result in a contract – Human Resources Department</td>
</tr>
<tr>
<td>Welfare Benefit Related Documents</td>
<td></td>
</tr>
<tr>
<td>Federal reporting requirements, including, but not limited to, Form 5500s</td>
<td>Permanent – Human Resources Department</td>
</tr>
<tr>
<td>Plans and plan amendments, including descriptions and related documents</td>
<td>Permanent – Human Resources Department</td>
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<tr>
<td>Retirement benefit related employee records, including, but not limited to, eligibility, personal information, service records and payments</td>
<td>6 years after death of eligible employee or the joint and surviving beneficiary, if applicable – Human Resources Department</td>
</tr>
<tr>
<td>Required retirement benefit related notice to participants</td>
<td>6 years after distribution – Human Resources Department</td>
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<tr>
<td>Loan documentation for plan participant loan</td>
<td>3 years after repayment – Human Resources Department</td>
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<td>Election notices and documents, including COBRA notices and COBRA-Related election documents</td>
<td>3 years after expiration of coverage period – Human Resources Department</td>
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<tr>
<td>Trust agreements, custodial agreements and third-party administrative agreements</td>
<td>Permanent – Human Resources Department</td>
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<tr>
<td>Insurance</td>
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<tr>
<td>Insurance policies</td>
<td>6 years after expiration – General Counsel's Office</td>
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<tr>
<td>Certificates of insurance</td>
<td>6 years after expiration – General Counsel's Office</td>
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<tr>
<td>Insurance claims – non-workers’ compensation</td>
<td>4 years after settlement of claim – General Counsel's Office</td>
</tr>
<tr>
<td>Insurance claims – workers’ compensation</td>
<td>5 years after settlement of claim – Department of Human Resources</td>
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<tr>
<td>Intellectual Property</td>
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<tr>
<td>Original patent and related work papers</td>
<td>Permanent – General Counsel's Office</td>
</tr>
<tr>
<td>Original copyright and trade mark and related work papers</td>
<td>Permanent – General Counsel's Office</td>
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Note: The Purchasing Department, Downtown Campus and Facilities Department should forward copies of all certificates to the General Counsel’s Office.
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<td>Life of patent, trademark or copyright plus 5 years – General Counsel’s Office</td>
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<tr>
<td>Assignments</td>
<td>Permanent – General Counsel’s Office</td>
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<tr>
<td>Licensing agreements</td>
<td>6 years after expiration of agreement – General Counsel’s Office</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> The Office of Technology Transfer &amp; Intellectual Property should forward copies of all agreements listed under “Intellectual Property” to the General Counsel’s Office</td>
</tr>
<tr>
<td></td>
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<tr>
<td>Legal</td>
<td></td>
</tr>
<tr>
<td>Litigation files</td>
<td>4 years after case is closed – General Counsel’s Office</td>
</tr>
<tr>
<td>Final disposition documents, including, but not limited to judgments, releases, settlements, and orders</td>
<td>Permanent – General Counsel’s Office</td>
</tr>
<tr>
<td>Authorizations for release of records, subpoenas and the like</td>
<td>3 years – General Counsel’s Office</td>
</tr>
<tr>
<td>Conflict of interest forms</td>
<td>3 years – General Counsel’s Office</td>
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<tr>
<td>Public Safety Records</td>
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<tr>
<td>Incident Reports</td>
<td>10 years for those involving death – Department of Public Safety</td>
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<tr>
<td></td>
<td>5 years for those involving serious injury, a criminal act or property damage or destruction – Department of Public Safety</td>
</tr>
<tr>
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<td>3 years for all others – Department of Public Safety</td>
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<tr>
<td>Compilation of statistics regarding crimes on campus (Clery Reports)</td>
<td>5 years – Office of Institutional Information</td>
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<tr>
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<tr>
<td>Real Estate</td>
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<tr>
<td>As-built drawings, specifications, designs, blueprints and maps</td>
<td>Permanent – Design and Construction Department</td>
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<tr>
<td>Property deeds, easements, licenses, rights of ways, rights of first refusal, remainder interests, title reports and mortgages</td>
<td>6 years after property interest terminated or transferred – General Counsel’s Office</td>
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<tr>
<td>Property tax documents</td>
<td>6 years – General Counsel’s Office</td>
</tr>
<tr>
<td>Mechanical, engineering and environmental reports</td>
<td>6 years after property interest terminated or building demolition – Design and Construction Department</td>
</tr>
<tr>
<td>RECORD CATEGORY</td>
<td>RETENTION SCHEDULE / RESPONSIBLE DEPARTMENT</td>
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<tr>
<td><strong>Regulatory Records</strong></td>
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<tr>
<td>Accreditation/licensure records</td>
<td>Permanent – Office of the President</td>
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<tr>
<td>Governmental permits, approvals and licenses</td>
<td>3 years after expiration – General Counsel’s Office</td>
</tr>
<tr>
<td></td>
<td><strong>Note: All departments should forward copies of all permits, licenses and approvals to the General Counsel’s Office</strong></td>
</tr>
<tr>
<td>Records of building and fire department inspections</td>
<td>4 years – Facilities Department</td>
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<tr>
<td>Investigations or audits by regulatory body</td>
<td>Permanent – General Counsel’s Office</td>
</tr>
<tr>
<td>Required governmental or regulatory reports not otherwise accounted for herein</td>
<td>4 years – Appropriate Department</td>
</tr>
<tr>
<td><strong>Sponsored Research</strong></td>
<td></td>
</tr>
<tr>
<td>Grant and contract applications, proposals and supporting documentation (awarded)</td>
<td>3 years after completion of the filing of all close-out documents required by the sponsor or as specified by particular grant or contract requirements – Office of Sponsored Research &amp; Programs and Grant and Contract Accounting, as applicable</td>
</tr>
<tr>
<td>Animal welfare records</td>
<td>5 years after completion of research – Office of Research Compliance &amp; Proposal Development</td>
</tr>
<tr>
<td>Human subject records</td>
<td>6 years after the research is completed, terminated, withdrawn, cancelled prior to enrollment or otherwise closed – Office of Research Compliance &amp; Proposal Development</td>
</tr>
<tr>
<td>Recombinant DNA research records</td>
<td>Permanent – Office of Research Compliance &amp; Proposal Development</td>
</tr>
<tr>
<td><strong>Student Life Records</strong></td>
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<tr>
<td>Disciplinary records</td>
<td>10 years after infraction – Dean of Student’s Office</td>
</tr>
<tr>
<td>Fraternities and sororities files</td>
<td>Dean of Student’s Office until no longer needed then to the Archives</td>
</tr>
<tr>
<td>Student groups and organizations files</td>
<td>Dean of Student’s Office until no longer needed then to the Archives</td>
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</table>
APPENDIX B

FORM LETTER REGARDING THE RETENTION OF RECORDS DUE TO LITIGATION

IIT has received a threat of litigation from ________________. Accordingly, we are under a legal obligation to maintain all records, including email, that relate to __________________________________________________________________________. This obligation overrides the University’s Policy on Record and E-mail Retention (the “Policy”), or, if applicable, your department’s record retention policy. Therefore, do NOT destroy or delete any records you or your unit may have that concern or even mention ________________ by name, even if the Policy (or your department’s record retention policy) would otherwise permit you to do so. The law requires that you take affirmative steps to preserve this information. The safest way to preserve information that is currently stored in electronic form is to print out a hard copy and maintain it in a file.

Finally, I am required to monitor your compliance with this mandate to preserve "evidence." Please let me know that you have received this email, and what steps you are taking to preserve records relating to the above-referenced matter. At some time in the future, I may need to ask you to transfer those records to me. In the event you separate from the University for any reason during the course of this matter, please notify me so we may ensure retention of your e-mail folder in the server pending resolution of this matter.

Thank you for your assistance. Please contact me if you have any questions or concerns.
If a law enforcement officer requests any records or information or any sort of surveillance from the University in regard to the University or concerning a member of the staff, faculty or student body, the following procedures should be followed:

A. Requests for voluntary assistance or warrantless searches (i.e., the officer does not present a subpoena or court order):

- Explain to the officer that the University’s General Counsel’s Office responds to all requests for records and information and access to networks and systems and provide the officer with the contact information for the General Counsel’s Office – 312.567.3006 (Telephone); 312.567.6931 (Fax); IIT Tower, Suite 1900-SW.

- If the officer claims that an emergency or other circumstance requires the University to turn over records, provide information or grant access to its networks or system without a court order, contact the General Counsel’s Office for assistance.

- If the officer employs force to take possession of University records, information or other property, do not obstruct the search in any way, be prepared to create a written record describing the incident and contact the General Counsel’s Office immediately.

B. If the law enforcement officer presents a subpoena or a similar request for records:

- Accept the subpoena, but inform the officer that the General Counsel’s Office responds to all subpoenas (or such similar orders) on behalf of the University.

- Turn the subpoena over to the General Counsel’s Office.

- Work with the General Counsel’s Office to respond appropriately to the subpoena.

C. If a request is received by mail, regardless whether the request is made by letter or subpoena:

- Forward the request to the General Counsel’s Office.

- Work with the General Counsel’s Office to respond appropriately to the subpoena.

This Policy applies to all departments, but it is not intended to pre-empt any departmental policy that designates specific personnel within the department to whom officers are to initially be directed.
A. INTRODUCTION

IIT's primary functions are educating students, undertaking research and expanding and applying knowledge to advance the common good. While the primary professional obligation of a faculty is to IIT, participation by faculty in external activities, such as companies, can be beneficial to IIT and to society.

A member of the faculty may be involved with a privately held company that he or she actively manages or in which he or she holds “significant equity” as defined in Section B below (a “Company”). Such involvement helps make important results of IIT research and teaching available to the public, enhances the faculty's professional experience, facilitates faculty retention and provides valuable educational experiences for students.

The IIT administration is committed to facilitating Companies by licensing to them IIT-owned intellectual property, copyrights, inventions or technology (collectively, “IIT IP”) when doing so is reasonably determined to be the most feasible route for commercializing the IIT IP. When Companies are formed, however, conflicts of interest, conflicts of commitment and issues related to effective product development must be addressed. To this end, the following procedures and guidelines shall govern the relationship between IIT and such Companies.

B. APPLICABILITY

This Policy applies whenever both of the following are true:

1. A Company will use IIT IP; and
2. A faculty member holding a faculty appointment at IIT other than as an adjunct (a “Faculty Member”):
   a. is actively involved in the management of a Company, which may include, but is not limited to, serving on the Company’s board of directors; or
   b. holds “significant equity” (meaning 5% or more of the total authorized units/shares or a value exceeding $10,000) in a Company.

It shall be the responsibility of a Faculty Member who meets these criteria to timely, but in no event later than the start of negotiations for the licensing of IIT IP, notify the Provost of his or her involvement with the Company.
C. OVERSIGHT COMMITTEE

The IIT Faculty Companies Oversight Committee (the “IFCOC”) will review and address actual and potential conflicts of interest and commitment and other issues that arise when IIT IP is transferred to a Company. The IFCOC must review any transaction where a Faculty Member is actively involved in the management of or holds significant equity in a Company that is licensing IIT IP. The role of the IFCOC shall be to evaluate the particular facts and circumstances of the transaction to ensure that (i) the transaction is fair and in the best interest of IIT; (ii) conflicts of interest and/or conflicts of commitment are considered and managed; and (iii) any disruption or potential disruption to the educational experience of Students (as defined in Section D) and the academic life of other faculty members is minimized. The IFCOC shall consist of five members: the Provost, who will serve as Chair, the Director of Technology Transfer & Intellectual Property, the Vice-Provost for Research, the Chair of the Faculty Council and the General Counsel.

The IFCOC will meet as needed and shall act by majority vote. Members of the IFCOC may not hold a management position with, serve on the Board of or be an employee of any Company, and they should not invest in or loan funds to any Company. In the event a member of the IFCOC has a conflict of interest (as defined in the Conflicts Policy) with respect to a Company, he or she shall recuse himself or herself from reviewing and making determinations affecting that Company, and the President shall appoint another individual with comparable expertise to serve on the IFCOC solely with respect to matters relating to that Company.

D. RESPONSIBILITIES

With respect to a Company, the Faculty Member and relevant IIT administrators must act so as to avoid and/or manage conflicts and ensure the fairness of the transaction.

University Responsibilities

1. The Chair of the IFCOC, or his or her designee, will inform the Faculty Member’s dean or department head of the Faculty Member’s involvement with and/or interest in the Company, so that the dean or department head can monitor the Faculty Member to ensure that he or she continues to meet his or her obligations to IIT.

2. The IFCOC must determine that granting rights in IIT IP to the Company is the "best mode" for commercialization, as opposed to licensing the IIT IP to a third-party commercial sponsor, and if it so determines, the IFCOC must give final approval to the terms of the associated license agreement(s) with the Company for the IIT IP.

3. The IFCOC must approve any contracts between IIT and the Company that fund research of any member of the faculty that is actively involved in the
management of, holds significant equity in or receives annual compensation in excess of $10,000 from the Company.

4. For purposes of the Conflicts Policy, the IFCOC shall be the party responsible to review and manage any conflicts of interest or conflicts of commitment that may arise with respect to the Company.

Faculty Responsibilities

1. A Faculty Member's involvement in a Company must not interfere with his or her obligations to IIT. See Faculty Handbook, http://www.iit.edu/general_counsel/policies/faculty_handbook/ (the “Faculty Handbook”); Conflict of Interest & Conflict of Commitment Policy, http://www.iit.edu/general_counsel/policies/pdfs/procedure_p1_conflict_of_interest_policy.pdf (the “Conflicts Policy”).

2. A Faculty Member involved with a Company must fully disclose his or her activities and ownership to any students, meaning any undergraduate or graduate student enrolled at or appointed as a senior research associate or research associate at IIT (collectively, the “Students”), who is working on a research or other project that has any relation to or is in a field of use relevant to the Company. This disclosure should occur prior to the Faculty Member's engagement of the Student. Students should not be assigned to research projects that will or reasonably may result in a direct financial benefit to the Faculty Member. The Faculty Member must not allow potential financial benefits arising out of his or her research to influence his or her role as teacher, advisor and colleague.

3. All potential Faculty Member conflicts of interest must be disclosed in accordance with the Conflicts Policy, and a suitable management strategy designed to avoid conflicts must be developed by the Faculty Member and the IFCOC.

4. Subject to the Conflicts Policy and applicable provisions of the Faculty Handbook, each dean and/or department head should establish guidelines for time spent by his or her faculty on outside activities. In general, a significant conflict of commitment will exist if the Faculty Member's professional responsibilities outside of IIT, including work with the Company, exceed more than one day per work week. Although it may be necessary initially for the Faculty Member to engage in business activities to attract necessary resources to refine the IIT IP and related technology and to launch the Company, it is expected that the Faculty Member's management responsibilities will gradually decrease as the Company develops and that eventually professional management will assume decision-making roles. It is assumed that the Faculty Member's involvement will be as a professional consultant (with a title such as chief scientific advisor or chief technical advisor) and not as an officer of or in a management position with the Company. The Faculty Member may serve as a director of the Company, but he or she must make clear, at all times, that he or she is doing so in his or her professional capacity.
individual capacity and not as a representative of IIT. If the Faculty Member finds that he or she is unable to fulfill his or her IIT responsibilities, then he or she must either disengage from the business activities of the Company or seek an approved reduction of appointment or leave of absence.

5. To avoid the appearance of a conflict of interest, a Faculty Member who holds significant equity in the Company must disclose to other investors in the Company the share of IIT's licensing revenue to which he or she is entitled pursuant to IIT policies.

E. UNIVERSITY'S RELATIONSHIP TO THE COMPANY

IIT may undertake to do business with a Company on an arm's length basis, meaning on substantially similar commercial terms and with the appropriate documentation that IIT would seek from any other company, subject to the specific requirements for certain sponsored research agreements as set forth in Section F below. In general, IIT employees, other than the Faculty Member, should not work for the Company or assume management positions with the Company, except to the extent that such activity is permitted by the Faculty Handbook and Conflicts Policy.

With respect to the licensing of IIT IP to a Company, the agreement should satisfy the following terms:

1. IIT may grant the Company an exclusive, worldwide license to the IIT IP with the right to sublicense or such lesser rights as may be agreed. The terms of the license agreement generally should obligate the Company to pay:
   a. All future patent expenses, provided that IIT may, if appropriate under the circumstances, seek reimbursement for past patent expenses;
   b. A license fee and annual maintenance fees for years prior to the first commercial sale;
   c. Milestone payments, such as, by way of example, upon a round of equity financing or achievement of critical product development events; and
   d. An earned royalty on product sales by the Company or its sublicensees, with annual minimum amounts due in each year after first commercial sales (fully creditable against earned royalties).

2. The Company will be obligated to satisfy certain diligence provisions in order to maintain the license. Failure to satisfy these requirements may result in IIT's termination of the license. The Company will:
   a. Provide an acceptable development plan with at least semi-annual updates;
   b. Meet all milestones;
   c. Make all required payments within 60 days of the due date;
   d. Comply with all necessary steps to effectively manage conflicts;
e. Indemnify and provide satisfactory insurance for IIT for product liability and other risks;
f. Require IIT approval of sublicenses; and
g. Require that its obligations are passed onto any sublicensee.

3. IIT may take an equity interest in the Company, subject to the following:

a. If the Company is a start-up or has limited financial resources, the IFCOC may approve IIT taking an equity interest in the Company in lieu of or in addition to cash payments, provided that IIT's ownership of equity should not exceed 15% of all authorized shares; and
b. IIT should not hold a seat on the governing board or otherwise participate in the management of the Company.

F. RESEARCH SUPPORT BY THE COMPANY

A Company may support research projects of a member of the IIT faculty that is actively involved in the management of, holds significant equity in or receives annual compensation in excess of $10,000 from the Company only if the following conditions are satisfied:

1. All projects are subject to IIT's Conflicts Policy, and as such, a decision will be required by the IFCOC that a conflict of interest either does not exist or has been appropriately managed;

2. The scope of work is clearly defined and the research is not for product or process development for the Company;

3. Consistent with its general policy and practice, (i) all inventions arising from such research, whether performed by an IIT Faculty Member or Student, are to be owned by IIT subject to the customary option granted to a company to negotiate licenses for such inventions; (ii) IIT retains full publication rights; and (iii) IIT receives its negotiated cost recoveries;

4. Students who are to be assigned to the research are not also employees of the Company; and

5. The funding of the research is not in lieu of the Company's royalty payment obligations.

G. NON-USE OF IIT RESOURCES

It is assumed that the IIT IP used as the platform for a Company is at an early stage of development and is related to a Faculty Member’s ongoing research interests. It is also assumed that some of the IIT IP's development will occur at IIT before transfer to the Company. IIT will work with the Company to assist in this transfer, including, as appropriate, offering assistance to the Faculty Member to locate suitable space for the Company. IIT and the Company will work to assure that IIT
facilities, equipment and resources, including, without limitation, personnel, whether Students, Faculty Members or staff, are not being used inappropriately to support product development and for-profit activities. Once transfer of the IIT IP to the Company has occurred, IIT facilities, equipment and other resources may be used for activities benefiting the Company only if such use is pursuant to an arm’s length negotiated (i) sponsored research agreement; (ii) facilities use agreement; or (iii) other appropriate contract.

H. STUDENT PARTICIPATION

Although involvement with a Company can be beneficial to a Student, IIT’s first obligation to Students is to support and encourage their degree progress and completion of their academic work. Therefore, a Student may not be employed by a Company in which a Faculty Member is actively involved in its management or holds significant equity if:

1. The Student is enrolled in a course taught by the Faculty Member, unless the IFCOC has approved procedures or a process designed to ensure the objectivity of the grading of the Student’s course work; or

2. The Faculty Member is the Student’s advisor or the director of his or her thesis or dissertation research.

Further, a Student employed by a Company should be informed that he or she may contact a member of the IFCOC if he or she feels compromised in any way by his or her involvement with the Company.

I. GIFTS

IIT will accept gifts and donations from a Company; however, IIT will not issue, and a Company should not expect IIT to issue, any gift receipt for any such a gift or donation, or portion thereof, to the extent that the gift or donation benefits the Company or any individual that is actively involved in the management of or holds significant equity in the Company.
I. Purpose

IIT seeks to promote safe travel to events and activities occurring beyond the boundaries of the University by students and recognized student organizations. This Policy applies to individual student travel and to recognized student organization travel, both in cases where the travel is sponsored by IIT and in cases where the travel is independent of IIT sponsorship but where an individual student or a recognized student organization travels on behalf of, or with the financial support of, one or more IIT academic or administrative units and/or recognized student organizations. Travel beyond the boundaries of the IIT campus but within Cook, DuPage, Lake, McHenry or Will Counties, whether sponsored by IIT or not, is considered a field trip and is not subject to this Policy.

II. Definitions

An “appropriate administrator” is the President, Provost, an academic Dean, a Vice Provost, or the Dean of Students, or the authorized designee of any of the foregoing.

A “recognized student organization” is one that has been formed for educational, professional, social, recreational or other lawful purposes, derives the majority of its membership and all of its leadership from the student body of IIT, has been approved for recognition by the Office of Student Life and maintains a current registration status with the Office of Student Life.

A “travel summary” is a written summary prepared by the organizing individual or group that, at a minimum, details the purpose of the travel, sets forth the full travel itinerary, including all lodging and contact information, and lists all participants and their relation to IIT.

“University sponsored student travel” is travel involving a student or students that (i) is initiated, actively managed, planned and arranged by a member of IIT’s faculty or staff, or members of a recognized student organization with the approval of an appropriate administrator; or (ii) has IIT financial, physical or administrative involvement or oversight. University sponsored student travel does not include travel under the auspices of IIT’s Department of Athletics or study abroad programs under the auspices of IIT’s International Center.

III. Requirements

All student and recognized student organization travel falling under this Policy must meet the following requirements:

A. To assure that travel involving students is consistent with IIT’s mission and that student safety issues have been addressed, University sponsored student travel
must be approved in advance by an appropriate administrator. The organizing individual or group must prepare and provide a travel summary to the appropriate administrator for his or her review and approval not less than forty-five (45) days prior to the date of the proposed travel. An appropriate administrator may request that a travel summary be supplemented with such additional information as he or she deems appropriate in order for him or her to make an informed decision. In general, for University sponsored student travel the purpose of which is academic, such as a conference or research, involving students from more than one College, then an appropriate administrator from each College must approve it.

Approval decisions of an appropriate administrator must be consistent with the provisions of this Policy.

1. An appropriate administrator should not approve travel if he or she determines that safety, security or health conditions pose an undue risk to the traveler(s).

2. Students shall not be required to study or do research in locations affected by an U.S. State Department Travel Warning in order to satisfy a degree requirement or to receive a grade for a class.

3. Travel to a country where the U.S. State Department has issued a mandatory evacuation order shall not be permitted.

4. Recognized student organization travel must be consistent with the organization's mission statement and constitution on file with the Office of Student Life, and travel must be planned so as not to create an undue interference with academic responsibilities.

5. Students on academic or disciplinary probation or on leave from the University should not be approved for any University sponsored student travel.

6. Students traveling outside of the United States need to attend a pre-departure health, safety and security meeting provided by IIT's International Center.

If the appropriate administrator approves a travel summary, then he or she shall sign the travel summary noting his or her approval and return it to the organizing individual or group and provide, as described in B below, a copy of the approved travel summary to IIT's International Center. If the appropriate administrator does not approve a travel summary, then he or she shall return the travel summary unsigned to the organizing individual or group and notify the organizing individual or group of the reason for the non-approval. In the case of non-approval, the organizing individual or group may attempt to modify the travel summary to overcome the objections of the appropriate administrator and resubmit the travel summary to the appropriate administrator.
Notwithstanding the approval of an appropriate administrator, the Provost, or designee, may prohibit or suspend any such previously approved University sponsored student travel should a subsequent change in circumstances render the travel unsafe.

B. The travel summary with the signature of the appropriate administrator must be submitted to IIT’s International Center, no later than thirty (30) days before the scheduled trip. No changes may be made to the travel summary without the approval of the appropriate administrator who initially authorized the travel.

C. All students traveling must complete and submit a Voluntary Assumption of Risk and Release and Waiver of Liability Agreement and an Emergency Contact and Medical Information Form, available from the Office of General Counsel, to IIT’s International Center no later than fifteen (15) days before the scheduled trip. IIT’s International Center will provide such travel orientation and/or information as appropriate given the specifics of the trip. In the event that the proposed itinerary includes a location under a U.S. State Department Travel warning, the existence of such warning and information related thereto will be set forth in the Voluntary Assumption of Risk and Release and Waiver of Liability Agreement. IIT’s International Center shall maintain these forms for a period of six (6) months from the conclusion of the travel covered thereby.

D. Unless otherwise explicitly approved, all University sponsored student travel must be chaperoned by a faculty or staff member. If approval to travel without such a chaperon is granted, then a student officer from the recognized student organization must accompany the trip; provided, however, a student may not lead University sponsored student travel to a location that is under a travel warning. IIT will view this student officer as the party responsible for the trip. The faculty or staff member or student officer must carry a copy of emergency contact information for all students participating in the trip as well as relevant IIT contact numbers.

E. Any travel undertaken without submission of a complete and accurate travel summary or not in accordance with an approved travel summary or otherwise in violation of this Policy may result in individual and/or organizational discipline as outlined in the IIT Student Handbook, together with such additional action as may be deemed appropriate under the circumstances. All travel participants are expected to comply with the standards set forth in the IIT Student Handbook and with applicable IIT policies, procedures and rules. Violations of the foregoing requirements may subject participants and sponsoring organizations to disciplinary action as outlined in the IIT Student Handbook.

F. The faculty member or administrator responsible for the travel shall communicate to the participants that the University does not provide medical insurance for any student’s participation in travel. All student participants shall be responsible for medical costs they incur during and/or as a result of the travel.
G. Unless express permission has been granted by the appropriate administrator, friends and family members of IIT students, faculty and staff are not eligible to participate in University sponsored student travel.
I. Using Social Media on Behalf of IIT

Social media channels such as Facebook, YouTube, Twitter and similar programs can be effective means of promoting IIT and connecting the university to the public at large. IIT encourages the use of these media and offers the following general guidance to those posting content on the university’s behalf:

- Seek approval from the appropriate college or department administrator prior to posting information.
- Be honest and transparent in communications. Others will consider posts to be words/actions of the university so it’s important that all communications are accurate and clear. Also, as an IIT representative, maintain a respectful tone in delivery and aim to be constructive with comments and criticisms.
- Be mindful of confidentiality and take care not to post proprietary or confidential university business or personally identifiable information about students, faculty or staff without permission.
- Inform the Office of Marketing and Communications of social media work performed to insure the appropriate use of IIT trademarks, logos, photos and the like.

II. Using Social Media Personally

Individual personal use of social media requires the exercise of good judgment and common sense. Accordingly, staff and faculty should be mindful of the following:

- If you identify yourself as an IIT employee, include a disclaimer in your postings so that it is clear your communications are personal and do not represent the positions or opinions of the university. Accordingly, do not include IIT’s trademarks or logos in postings related to any commercial activity or political undertaking for or against a candidate for office, ballot measure or partisan cause. Do not make negative comments that target one or more IIT student or alumnus. Be respectful of all copyright and intellectual property laws. IIT maintains many Non-Disclosure and Confidentiality Agreements with third parties and the information contained in such Agreements should not be disclosed. Use common sense and be mindful of the audience when posting content (including photographs), as nothing on these sites is totally “private.” Avoid posting content that could reasonable be construed as harassing, discriminatory, threatening, malicious, defamatory or libelous against fellow professionals, employees, students, alumni, other institutions of higher education or anyone else.
- Review IIT’s Computer Use Policy in its entirety and remember the proper use of IIT computer accounts is the responsibility of each individual.
Policies and Procedures Handbook
Illinois Institute of Technology

Subject: Volunteers and Unpaid Interns

I. General

IIT values the contributions that volunteers and unpaid interns make to the university community and recognizes that such individuals benefit on a personal or professional level from their service. The following requirements and procedures establish when and how an individual may serve IIT as a volunteer or unpaid intern.

II. Definitions

(A) In general, a “volunteer” is one who performs services (1) for civic, charitable or humanitarian reasons or personal purpose or pleasure; (2) without promise, expectation or receipt of compensation; (3) without any coercion or pressure to do so; and (4) without displacement or replacement of a regular employee. A volunteer derives no substantial or material benefit or advancement, other than altruistic satisfaction, from serving.

(B) In general, an unpaid “intern” (or “trainee”) is one who (1) performs services primarily for his or her own benefit; (2) does not displace or replace regular employees, but works under their supervision; (3) produces no more than minimal value for IIT; (4) understands that he or she is not entitled to wages, benefits or other compensation in connection with the internship; and (5) is not entitled to a position with IIT when the internship ends. An internship is similar in nature to a practicum in that it provides relevant skill development and experience to the intern.

If an individual is to perform services for IIT and fails to meet the definition of a volunteer or an unpaid intern then that person is an “employee” and must be hired.

III. Approval to Place a Volunteer or Unpaid Intern

Anyone seeking to place a volunteer or unpaid intern must submit a request for approval to IIT’s Office of Human Resources prior to: (1) engaging the volunteer or unpaid intern for service; or (2) partnering with an organization to accept volunteer placements or establish an internship program. The placement request, which should be made in writing or by e-mail, must contain the following information:

1. Name of the volunteer or intern, and his or her age, if he or she is younger than 18;
2. Description of services to be performed;
3. Purpose of hosting the volunteer or internship;
Where the services are to be performed and the period of service – internships should not exceed 12 weeks and volunteers and unpaid interns should not provide more than 20 hours of services per week;

5. The personal, educational, or professional benefits expected to be derived by the volunteer or unpaid intern;

6. A statement that the services will be provided without compensation of any kind; and

7. How the volunteer or unpaid intern was recruited, or if the volunteer or unpaid intern is being placed at IIT by an outside organization, provide the name, address, and telephone number of the contact person at the organization.

The Department of Human Resources will evaluate the request to determine whether the placement is within the definition of a volunteer or unpaid intern. Notification of approval or denial will be made to the requesting individual in writing or by e-mail. If approval is granted, it will be subject to satisfactory completion of a background check on the volunteer or intern. Such background check will be performed consistent with IIT's then-current policy regarding such matters. (See Procedure No. Q-2 of the IIT Policies and Procedures Handbook.) Volunteers and interns are expected to comply with all applicable IIT policies and procedures, including, without limitation, those related to the placement of relatives and requiring safety training when services will be performed in a lab or other setting involving possible exposure to hazardous materials, machinery or health-related situations.

IV. Agreements/Waivers/Confidentiality

If the placement of the volunteer or unpaid intern is approved, the matter should be referred to the Office of General Counsel to draft any appropriate agreements with the volunteer or intern or affiliation agreement with the organization that seeks to place the volunteer or interns. The required parental consent and/or waiver forms will be prepared if the volunteer or intern is under the age of 18. Depending upon the nature of the services to be provided, a volunteer or intern may also be required to execute a confidentiality agreement.

V. University Identification

For identification card and reporting purposes, individuals should receive the designation “Volunteer” if they are a volunteer, “Program Affiliation-Other” if they are an unpaid intern, or “High School Student” if they are a high school volunteer or unpaid intern. No other designations should be given to such individuals.

VI. Foreign Nationals

In general, non-US citizens who are temporary visa holders may volunteer at IIT, except under the following circumstances:

1. A temporary visa holder who has applied to change status and whose employment authorization from the original status has expired cannot “volunteer” while waiting for a decision on the change of status application.

3. A temporary visa holder who has applied for an immigration benefit, such as for permanent resident status and whose previous status has expired, cannot volunteer until receipt of the permanent resident card.

4. An individual on a B-1 Visitor for Business or B-2 Visitor for Recreation/Travel cannot volunteer.
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I. Introduction

Generally, incidents occur when hazards escape detection during the implementation of preventive reviews and measures, such as a job or process safety analysis when the hazard is not obvious or is the result of a combination of circumstances that were difficult to foresee. A thorough post-accident investigation is important as it may identify previously overlooked physical, environmental or process hazards, the need for new or more extensive safety training or unsafe work practices. The primary focus of any incident investigation should be to determine the facts surrounding the incident and the lessons that can be learned to prevent future similar occurrences. The focus of an investigation should not be to assign blame. Instead, the process should be viewed as an opportunity for safety improvement and prevention enhancement; thus, the objective of the investigation should be to identify the root causes of the accident.

II. Scope and Application

The purpose of this Policy is to provide general guidance to those who conduct investigations and to standardize reporting. An investigation should be undertaken in accordance with this Policy if the accident concerned a subject covered by IIT’s Safety Policies & Procedures (which policies and procedures are posted at https://web.iit.edu/general-counsel/resources/safety-committee-reports) and involved:

1. an actual injury,
2. the potential for serious injury, or
3. property and/or product damage.

An investigation hereunder is in addition to any investigation undertaken by the Department of Public Safety. Though the Director of Environmental Health and Safety (the “Director”) has the ultimate authority to investigate all accidents, he or she may designate the applicable Designated Safety Officer (“DSO”) in conjunction with the Faculty Safety Coordinator (“FSC”) to conduct the initial investigation of accidents occurring in laboratories or research facilities on his or her behalf. The relevant Chair or Director will be included in the investigation as needed or appropriate. All other incidents will be investigated by the Director in conjunction with the relevant department head, as needed or appropriate. The depth and complexity of the investigation should be consistent with the circumstances and seriousness of the incident and should result in appropriate corrective action.

III. Program

The first priority whenever an incident occurs is to deal with the emergency and ensure that any injuries or illnesses receive prompt medical attention. The incident investigation should begin immediately thereafter. This ensures that details of what occurred will be fresh in people’s minds and that witnesses don’t unintentionally influence one another by talking about the incident. It also minimizes the likelihood that important evidence will be mistakenly moved, taken, destroyed or thrown away before the scene has been thoroughly inspected.
A. Types of Incidents

Often incidents will be classified as serious or non-serious. Non-serious incidents do not cause lost workdays or significant physical injury or property damage, even though the worst that could have occurred as a result of the accident did. Examples of non-serious accidents include minor scratches or abrasions or system failures that have minor consequences, such as a low-pressure hose that ruptures and sprays cool water. Examples of serious incidents include both those which did involve lost workdays and/or significant physical injury or property damage and those which reasonably may have. The latter type of serious incident is often called a “near miss.” Examples of near misses include:

- a worker falls from a 1 foot high scaffold but is not injured (this could easily have been a broken leg or worse);
- a worker tips back in a chair and topples backward but does not sustain an injury (backward falls are always serious because head injury might result); or
- a worker turns on a machine and thinks they feel a minor shock – shocks from voltage potential more than 75 volts DC or 40 volts AC are considered serious; such an incident may also indicate that there is a major problem with the machine and may require follow-up.

Because this distinction is extremely subtle, faculty, staff and students are encouraged to report both. After the report of an incident, regardless whether it is initially deemed serious or non-serious, the Director or his or her designee will investigate. Although more time and effort may be required to investigate what ultimately is determined to be a serious incident. Those involving lost workdays or near misses, all incidents should be appropriately investigated and an Incident Investigation Report should be filed, as the sound investigation of a non-serious incident could very well prevent the occurrence of a serious incident in the future.

B. Who Should Investigate

As indicated above, the primary responsibility for investigating an accident falls to the Director, or the DSO and/or FSC acting on the Director’s behalf, who should make his or her own initial investigation of all accidents, using the IIT Incident Investigation Form, which is attached hereto. When circumstances warrant (e.g. complex technical issues, chemical exposures, and serious injury), a more comprehensive investigation involving the department head and/or other departmental staff or university personnel may be made. Regardless of the type of investigation, the investigator should timely file his or her Investigation Form with his or her department head, the USLC, the Director and, if appropriate, the Office of Human Resources and the General Counsel’s Office. The Director should timely file his or her report with the affected department head and, if appropriate, the General Counsel’s Office.
C. General Principles as to How to Investigate

A sound basic approach to incident investigation is to find out what caused the accident and what can be done to prevent or minimize the chances of a similar incident occurring. Some suggestions that may help the investigator get the facts include:

1. Maintain objectivity throughout the investigation. The purpose of the investigation is to find the cause of the incident, not to assign blame for its occurrence.
2. Secure the incident site as needed; then check the incident site and circumstances thoroughly before anything is changed.
3. After any needed first aid or medical treatment has been administered, discuss the incident with the injured person and talk with anyone who witnessed the incident and those familiar with conditions immediately before and after it occurred. Witnesses should be interviewed individually and not as a group.
4. Be thorough as small details may point to the real cause.
5. Reconstruct the events that resulted in the incident, considering all possible causes, and determine unsafe conditions or actions that separately or in combination were contributing factors.
6. To the extent relevant, review records or logs that may shed light on the circumstances surrounding the incident.
7. If help is needed in determining the cause, ask for it. In addition to the ULSC and the Director, assistance with accident investigations may also be available from others in the affected department, the Department of Public Safety, the General Counsel’s Office and the Facilities Department.

D. How to Analyze an Incident

After the facts have been gathered, the investigator will need to analyze the information in an attempt to determine the cause of the incident. In analyzing an incident, there are almost always two causes – a surface cause and the root cause. As discussed below, a surface cause is the factor that actually caused the incident, and the root cause is the factor, problem or circumstance that contributed to the conditions and practices associated with the incident, i.e. facilitated the occurrence of the surface cause.

1. The surface cause of incidents includes those hazardous conditions and individual unsafe behaviors that directly caused or contributed in some way to the incident.

Hazardous conditions may exist in any of the following:

- Materials  
- Machinery  
- Equipment  
- Tools  
- Chemicals  
- Environment  
- Workstations  
- Facilities  
- People  
- Workload
Examples of unsafe behaviors may include:

- Failing to comply with rules
- Taking shortcuts
- Failing to report injuries
- Allowing unsafe behaviors
- Failing to supervise
- Scheduling too much work
- Using unsafe methods
- Horseplay
- Failing to report hazards
- Failing to train
- Failing to correct
- Ignoring worker stress

2. The root cause of incidents is the underlying system weaknesses that have somehow contributed to the existence of hazardous conditions and/or unsafe behaviors that represent surfaces causes of accidents. Root causes always pre-exist surface causes. Root causes generally fall into one of two categories: system design weaknesses or system implementation weaknesses. Examples of each are:

System Design Weaknesses
- Missing or inadequate safety policies/rules
- Training program not in place
- Poorly written plans
- Inadequate process
- No procedures in place

System Implementation Weaknesses
- Safety policies/rules are not being enforced
- Safety training is not being conducted
- Adequate supervision is not conducted
- Incident/Accident analysis is inconsistent
- Lockout/Tagout procedures are not reviewed annually

E. What To Do With The Results

Upon completion of an investigation, an Incident Investigation Form should be filed with (i) the head of the affected department, (ii) the Chair of the IIT Safety Policy Committee, (iii) the FSC and the Director, if they have not conducted the investigation; and (iv) Department of Human Resources. Once the Incident Investigation Form is filed, the head of the affected department should take appropriate action to control or eliminate the conditions (both the surface and root causes) that caused the incident (regardless whether the incident was ultimately deemed to have been serious or non-serious) once these have been conclusively identified. Actions may include:

1. When equipment changes or safeguards are necessary, specific recommendations
should be discussed with the department head.

2. When an operation can be changed to eliminate the hazard, department heads should make the change if it is within his or her authority, or seek the necessary approval for the change.

3. If unsafe acts by workers are involved, ensure that the worker is properly trained and that training is followed. All others involved in similar operations should be trained as well.

The Director, as appropriate, may conduct follow-up as needed to ensure that appropriate corrective action has been taken. The ultimate goal is to do what can reasonably be done to prevent in the future non-serious incidents from becoming serious and to minimize the likelihood of a serious incident.

IV. APPROVAL

The IIT Safety Policy Committee has reviewed and recommended the adoption of this Policy on June 19, 2006, and this Incident Investigation Policy is approved and effective this 19th day of June 2006. The Safety Policy Committee will review the contents, implementation and effectiveness of this Policy no less than annually (but as often as necessary) and will make modification as necessary to ensure that it meets all required legal and regulatory requirements and is adequately providing a safe and healthful environment for IIT faculty, employees and students. Any modifications to this Policy have been reviewed and approved, and are effective as of the date noted on the cover page.

By: /s/ Alan Myerson
    Provost and Senior Vice President

By: /s/ John P. Collins
    Vice President for Business & Administration
INCIDENT INVESTIGATION FORM

I. Incident Information
Date of Accident ____________________ Time ______ AM/PM
Day of Week S M T W T F S ______
Shift ________________ Department/Location __________________________

II. Injured Person(s)
Name:________________________________________ Address:________________________
Age:______ Phone:________________________
Job Title:____________________________________ Supervisor:______________________
Length of Employment at IIT:_________________ Length of Employment at Job:___________
Employee Classification: Full Time Part Time Contract Temporary
Nature of Injury Bruising Dislocation Other (Specify) Injured Body Part:
Strain/Sprain Scratch/Abrasion Internal __________________________
Fracture Amputation Foreign Body Remarks:___________________________
Laceration/Cut Burn/Scald Chemical Reaction ________________________

Treatment Name and Address of Treating Physician or Facility
First Aid ______________________________________________________________________
Emergency Room __________________________________________________________________
Dr’s Office ______________________________________________________________________
Hospitalization ___________________________________________________________________

III. Damaged Property
Property, Equipment or Material Damaged Description of Damage
________________________________________ ____________________________________________
Object or Substance Causing Damage _____________________________________________
________________________________________ ____________________________________________
Describe What Happened (Attach Photographs or Diagrams If Necessary)
______________________________________________________________________________
______________________________________________________________________________
______________________________________________________________________________

IV. Root Cause Analysis (Check All That Apply Based on Observable/Known Facts)
Improper Work Technique Poor Workstation/Process Design/Layout No Written Procedure/Policy
Safety Rule Violation Congested Work Area Safety Rule Not Enforced
Improper PPE or PPE Not Used Hazardous Substance Operating Without Authority
Fire or Explosion Hazard No PPE Failure to Warn/Secure
Inadequate Ventilation/Lighting Insufficient Worker Training Operating at Improper Speeds
Improper Material Storage Improper Maintenance/Inspection Insufficient Supervisor Training
By-Passed Safety Device/Guard Improper/Inadequate Tools/Equipment Insufficient Knowledge of Job
Slippery Conditions Inadequate Job Planning/Scheduling Inadequate Supervision
Improper Lifting Poor Housekeeping Excessive Noise
Horseplay/Unsafe Act of Other Drug/Alcohol Use Servicing Machine in Motion
Inadequate Fall Protection Inadequate Guarding of Hazard Unnecessary Haste
Improper Loading/Placement Other:___________________________ Unknown
V. INCIDENT ANALYSIS
Using the Root Cause Analysis List on the Previous Page, Explain the Cause(s) of the Incident in as Much Detail As Possible, Focusing on Known Facts.

_____________________________________________________________________________________________
_____________________________________________________________________________________________
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_____________________________________________________________________________________________
_____________________________________________________________________________________________
_____________________________________________________________________________________________

How Bad Could the Accident Have Been? What Is the Chance of the Accident Happening Again?
Very Serious   Serious   Minor   As Bad As Likely   Very Likely   Likely   Possible   Unlikely

VI. Preventative Actions
Describe Actions That Will Be Taken to Prevent Recurrence

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VII. Investigation Team

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<th>Position</th>
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THIS FORM SHOULD BE SUBMITTED, EITHER IN HARD COPY OR ELECTRONICALLY, TO (1) THE HEAD OF THE AFFECTED DEPARTMENT, (2) THE CO-CHAIRS OF THE SAFETY COMMITTEE AND (3) THE UNIVERSITY LABORATORY SAFETY COORDINATOR OR DIRECTOR OF ENVIRONMENTAL AND OCCUPATIONAL SAFETY, AS APPROPRIATE.
ILLINOIS INSTITUTE OF TECHNOLOGY
SAFETY POLICY COMMITTEE

Laboratory and Workshop Safety Policy

Approved: October 10, 2005
Reviewed and Modified: November 16, 2015
Reviewed: November 14, 2016
Reviewed and Modified: August 11, 2017
Reviewed: November 4, 2019
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## APPENDICES

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1) PURPOSE

In order to provide a safe, healthful laboratory and workshop experience for faculty, staff, students and visitors, all Illinois Institute of Technology (“IIT” or “University”) departments offering laboratory course work and/or research must provide laboratory space users with relevant safety protocols. Such protocols should be approved prior to the use of Research Laboratories, Instructional Laboratories, each as defined below. Each department shall develop and maintain a written laboratory safety program (“Program”), consistent with this policy, to ensure that Users of laboratory or workshop space receive safety instruction related to the unique risks and safety issues relevant to the department’s Research Laboratories, Instructional Laboratories. Each department’s Program should be developed in coordination with the University’s Director of Environmental Health and Safety, who will review the Program annually and will submit such Program, when he or she deems a Program is acceptable, to the Campus Safety Working Group, and as needed to the Institutional Biosafety Committee and/or Radiation Safety Committee for final review.

2) SCOPE

A Program should inform laboratory users of the nature of hazards that they are likely to encounter in Research Laboratories, Instructional Laboratories while pursuing their research or course work. A Program should describe how safe operating procedures will be defined in each laboratory space and how the implementation of safe operating procedures will be enforced. By way of guidance, in a chemical/biological lab a Program should address Hazards that include, but are not limited to, the following:

a) handling cylinder gases;
b) flammable materials, fire hazards, sparks and burn injuries;
c) handling acids, bases and corrosive chemicals;
d) handling toxic materials;
e) radiation, laser and X-ray hazards;
f) moving and lifting heavy objects and avoiding head injuries;
g) handling cryogenic materials;
h) handling extremely hot materials;
i) exposure to ultraviolet light and welding hazards;
j) exposure to dust and fumes;
k) handling biohazards, including recombinant DNA;
l) avoiding hearing loss due to high pitched and loud noises;
m) high voltage electrical hazards;
n) fire safety and evacuation procedures; and
o) hazard communication protocols.

3) DEFINITIONS

Student(s) – A currently enrolled, part-time or full-time IIT student who is enrolled in a course of study utilizing one of IIT’s instructional laboratories.

Laboratory Users – Students and other individuals who utilize laboratory space for research, instruction, or clubs, as well as visitors to laboratory space and facility workers.
Hazards – Objects or circumstances that pose a threat of direct bodily harm, such as sharp objects and equipment, and the threat of long term degradation of health, such as exposure to chemical and toxic substances.

Laboratories – Any defined space used as a laboratory, machine shop, auto shop, photographic darkroom or any other designated area where faculty, staff and/or students perform potentially hazardous tasks beyond those hazards normally associated with an office environment. The hazards to be considered include chemical, mechanical, electrical or radiation (including lasers). This space may also be used by University clubs.

Research Laboratories – Laboratory space maintained by the University’s colleges that are intended primarily to support research purposes.

Instructional Laboratories – Laboratory space maintained by the University’s colleges that are intended primarily to support instructional purposes.

Workshops – Generally involve hands-on learning activities along with discussion, interaction, presentation and debate on a given topic including areas were clubs perform tasks. For purposes of this Policy, the word Laboratory will also cover workshops.

Faculty Laboratory Safety Coordinator – A faculty member appointed by the Provost to assist departments in developing, implementing and monitoring policies, procedures and standards that are consistent with this policy and who assists the Director of Environmental Health and Safety when dealing with matters concerning safety and the faculty or students. The Faculty Laboratory Safety Coordinator has the responsibility of gathering and archiving all documentation pertaining to compliance with the Laboratory Safety Policy and transmitting these to the Director of Environmental Health and Safety.

Safety Data Sheet – A written electronic or printed document describing a hazardous chemical which is prepared in accordance with 29 CFR 1910.1200(g). More generally, it is an informational tool generated by manufacturers and suppliers of chemicals to provide safety information. A Safety Data Sheet is kept for each chemical used in Instructional Laboratories, and Research Laboratories.

Personal Protective Equipment – Equipment to provide a protective barrier from a potential Hazard. Examples include, but are not limited to, safety glasses, lab coats, goggles, face shields, disposable garments, respirators and gloves.

Responsible Person – This term applies when this procedure is addressing both instructors and Principal Investigators. It also applies to advisors in charge of clubs or IPRO projects.

Standard Operating Procedures – A written hazard document detailing a comprehensive evaluation of the potential hazards associated with the work in Laboratories. This document details how to safely work with hazardous materials, processes and equipment.

Work Practice Controls – Changes in the way an individual performs physical activities in order to reduce exposure to hazards. Work practice controls involve procedures and methods for safe work and include, but are not limited to:

- use of neutral postures to perform tasks (straight wrists, lifting close to the body);
• use of two-person lift teams;
• technique or sequence of events for a process; and
• wearing specific Personal Protective Equipment.

4) RESPONSIBILITIES

Providing a safe environment for Students, staff and faculty is a responsibility shared by laboratory personnel, Environmental Health and Safety personnel, faculty and academic administration. Responsibility for working safely lies with those scientists, technicians, faculty, students, and others who are performing the work. Each level must communicate effectively with the others in order to accomplish this task; effective communication requires identification of those responsible for laboratory safety and individual ownership of those responsibilities. This section outlines what must be done and by whom, in a specific timeframe, and how documentation of these activities will be generated and maintained.

a) Deans: Deans are responsible for ensuring that the department chairs or academic units reporting to them understand and perform their duties with respect to their programs, which shall include at least the following:
   • Provide department chairs with a written description of their laboratory safety obligations; this may be the responsibilities identified below, or such obligations may be tailored to suit the needs of the relevant academic unit with reference to the applicable University safety policies;
   • Maintain current copies of departmental records related to laboratory safety as may be required by this policy and the Director of Environmental Health and Safety;
   • Annually audit documentation related to laboratory safety is required by this policy and by the Director of Environmental Health and Safety to ensure that documentation is current and complete, and that copies have been transmitted to the Director of Environmental Health and Safety, as necessary;
   • Retain approved documentation related to variances to an applicable safety procedure;
   • Work with Chairs to accomplish compliance with the department’s program for any issues that may arise that cannot be addressed consistent with the relevant academic unit’s budget authority; and
   • Provide support for training Department Safety Officers, Laboratory Safety Coordinator and Responsible Persons as necessary to be competent in performing safety duties.

b) Chairs and Directors: Department Chairs and Directors of academic units are primarily responsible for compliance with the department’s program, including the development of their department’s or unit’s safety Program, which shall include at least the following:
   • Designation of a Department Safety Officer who is qualified and able to assume the responsibilities set forth in this Program;
   • Development and review at least annually a written description of the Department Safety Officer’s duties, which description shall be sent to the Faculty Laboratory Safety Coordinator;
   • Ensuring that Laboratory Users are offered the appropriate safety training by the respective Principal Investigators or Laboratory Safety Coordinator prior to their use of the laboratory space; written records of this training substantially in the form of Exhibit B shall be sent to the Faculty Laboratory Safety Coordinator at least annually;
• Ensure that Responsible persons have received the appropriate safety training prior to their use of the laboratory space; written records of this training shall be sent to the Faculty Laboratory Safety Coordinator at least annually;
• Periodic review and revision of all laboratory safety related documents required by this policy and by the Director of Environmental Health and Safety, and transmission of the final documentation to the relevant Dean and the Director of Environmental Health and Safety;
• Review of any written request for a variance to an applicable safety procedure, and if approved, transmit the document to the Department of Environmental Health and Safety for review and approval. Once approval from the Department of Environmental Health and Safety has been obtained, a copy of the approved document will be maintained by the Chair, and if not approved, the Chair shall so inform the applicant in writing (see attached variance guideline);
• Maintaining a current written list of assignment(s) of the department’s laboratory space, and ensuring that the relevant Principal Investigators and department’s Laboratory Safety Coordinator(s) are provided with a written copy of their respective responsibilities, with additional duties as required by the Chair, but in no event less than those responsibilities described below, and communicating these lists, in writing, no less frequently than annually, to their Dean and the Director of Environmental Health and Safety; and
• Working with Responsible Persons and Deans to ensure compliance with applicable laboratory safety policies and programs for any issues that may arise that cannot be covered by direct costs of research grants or department budgets, consistent with the requirements of the Laboratory Safety Inspection Policy.

c) **Faculty Laboratory Safety Coordinator** – The Faculty Laboratory Safety Coordinator shall assist departments in developing, implementing and monitoring laboratory safety standards that are consistent with applicable University safety policies. The duties of the Faculty Laboratory Safety Coordinator shall include:
• Participating in periodic laboratory inspections as requested by the Director of Environmental Health and Safety, *(See IIT Laboratory Inspection Policy)*;
• Working with faculty, staff and the Director of Environmental Health and Safety to develop and implement means of achieving compliance with applicable University laboratory safety policies in a way that minimizes the impact of compliance on the primary functions of the Director of Environmental Health and Safety, Deans, Chairs and Responsible Persons;
• The Faculty Laboratory Safety Coordinator also shall be responsible for the following:
  o Providing, on an annual basis, a list of documents required by the Director of Environmental Health and Safety to Deans, Chairs, faculty and staff;
  o Assisting the Director of Environmental Health and Safety in working with the faculty, Chairs and Deans to develop and maintain easily used systems by which pertinent records are to be transmitted, maintained, revised, updated, reviewed and audited;
  o Assisting the Chairs and Responsible Persons in the development of a Program, chemical hygiene plans, emergency plans, variances, standard operating procedures, and other documentation required by the Director of Environmental Health and Safety, as they may apply to laboratory safety;
  o Assisting Chairs and faculty members in the development, presentation, and record-keeping for laboratory safety training activities;
Providing Responsible Persons, Chairs and Deans the most recent versions of University laboratory safety-related policies on an annual basis or whenever such policies are modified or initiated;

Requesting, on an annual basis, the assignments of laboratory space for which each Principal Investigator or Laboratory Safety Coordinator is responsible, and to ensure that these individuals are provided with a written copy of their respective responsibilities as described in the Program and this policy;

Assisting, as requested, the Deans in their annual audits and the Chairs in their annual reviews of required laboratory safety documentation;

Assisting, as requested, faculty members in the preparation of written laboratory safety variance applications;

Assisting, as requested, Responsible Persons with assessments of the safety standards of their respective laboratory space;

Assisting, as requested, the Responsible Persons in bringing their laboratory space into compliance with applicable University safety policies; and

Acting as a resource available to the staff, faculty, academic administration, and the Director of Environmental Health and Safety in ensuring compliance with relevant University safety policies.

d) **Responsible Person** – Each laboratory space may have assigned to it one or more Responsible Person. The duties of the Responsible Person include the following:

- Creating a written list identifying the Hazards in their laboratory in a form substantially similar to Appendix A and provide it to the Department Safety Officer in advance of performing work;
- Attain approval from the Institutional Biosafety Committee when procedures require the use of Biological Hazards;
- Attain approval from the Radiation Safety Committee for procedures involving radiation;
- Developing a Standard Operating Procedure for all hazardous chemicals and related equipment processes, and obtain approval for such procedure from the Department of Environmental Health and Safety;
- Reviewing at least annually the relevant Chemical Hygiene Plan, if applicable;
- In consultation as appropriate with the Laboratory Safety Coordinator and/or Department Safety Officer, developing as necessary written reference materials, based upon their expertise, defining proper and safe Work Practice Controls, which necessarily should include identifying and avoiding unsafe practices as well;
- With respect to Instructors using Instructional Laboratories as part of their curriculum, instructing Students concerning the Hazards posed by working in that laboratory space or workshop:
  - an Instructor may delegate this responsibility to a qualified teaching assistant or staff person, but the Instructor is ultimately responsible for verifying that such instruction was in fact completed; and
  - verification may occur through the filing of an Safety Verification Form, attached here as Appendix B, signed by the Instructor.
- Identifying and documenting, using a form substantially similar to the Safety Verification Form included as Appendix B, Laboratory Users who received safety instruction and who are thereby permitted to work in the relevant laboratory space or workshop;
• Ensuring that Work Practice Controls are observed in the laboratory space;
• Denying access to individuals who did not participate in required safety instruction, or who have demonstrated a lack of understanding of, or an inability to follow, Work Practice Controls;
• Maintaining their respective laboratory space in safe operating condition;
• Submit a Safety Policy Variance Request to the Chair or Department Head if reasonable acceptations must be made to Safety Policies; and
• Supplying and/or requiring the use of Personal Protective Equipment, as necessary.

e) **Department Safety Officer** – The Chair shall appoint a Department Safety Officer who may be selected from the faculty or staff of that unit, who will coordinate and report on the status of the department’s compliance with the requirements of the Program. The Department Safety Officer under this policy may also act as a safety officer in connection with other safety-related programs and policies as may be necessary. The duties of the Department Safety Officer will include, but need not be limited to:

• Touring periodically that department’s laboratories and, if requested, working with the relevant faculty and staff, help the relevant faculty and staff prepare an itemized list identifying the hazardous materials, equipment and processes to which students will be exposed;
• Working with the faculty and staff in charge of the Research Laboratories, Instructional Laboratories, to develop a program of safety instruction for the students who use those labs;
• Ensuring that Program documentation is available to Chair of the department, Director of Environmental Health and Safety and Lab Supervisor;
• Collecting accident reports concerning injuries that have occurred in each department’s laboratories; copies of these reports should be provided to the Director of Environmental Health and Safety;
• Working with Responsible Persons and Laboratory Safety Coordinator to create and maintain a written emergency response plan outlining the response to possible accidents in the laboratory space, including a list of offices and people to notify; a copy of this emergency response plan should be filed with the Director of Environmental Health and Safety;
• Providing assistance, upon request, to identify Hazards in that department’s Research Laboratories, Instructional Laboratories;
• Ensuring that a compiled written list of the identified Hazards in a format substantially similar to Appendix A has been completed by the Principal Investigator and/or Instructor, and posted with other safety documentation for the laboratory space;
• Encouraging Principal Investigator and researchers to post Standard Operating Procedures in conjunction with the department’s Chemical Hygiene Plan;
• Working with the faculty and staff in charge of the laboratory space to develop programs of safety instruction, and reporting to the Dean or Chair, and to the Director of Environmental Health and Safety, concerning specific matters involving the department’s implementation of and compliance with the Program;
• Reviewing the hazard assessment documents submitted by the Responsible Person for regulatory compliance and safety concerns that the Responsible Person may be unaware of, and providing feedback; and
• Delivering a list of identified Hazards to the department’s Dean and Chair, the department’s instructors or Principal Investigators, the Director of Environmental Health and Safety and Faculty Laboratory Safety Coordinator.

f) **Laboratory Safety Coordinator** - The Chair shall appoint a Laboratory Safety Coordinator whose duty it is to promote a safe work environment for individuals utilizing a department’s Instructional Laboratories. The Laboratory Safety Coordinator, in conjunction with possible teaching assistants, will staff the department’s Instructional Laboratories whenever such facility is open for use. The Laboratory Safety Coordinator may also fill the role of Department Safety Officer. The Chair shall also appoint a Laboratory Safety Coordinator for Research Laboratories for such facilities that are shared by multiple Principal Investigators or researchers. The Laboratory Safety Coordinator shall be a professor, staff person or qualified teaching assistant. The duties of the Laboratory Safety Coordinator include, but need not be limited to, the following:

- Maintaining a file of Safety Data Sheets describing dangerous substances being used in each laboratory space and making this file accessible to anyone on request;
- Maintaining the relevant laboratory space and its equipment in safe working order;
- Having, on hand, Personal Protective Equipment that Laboratory Users are required to use but that they may not be required to furnish for themselves, as necessary;
- In coordination with the Responsible Person, requiring that Laboratory Users are certified and that they comply with safe working procedures;
- The authority to expel uncertified and non-cooperating Laboratory Users from the laboratory space;
- Generating accident reports documenting injuries that occur in the laboratory space and maintaining a file of these reports, consistent with IIT’s Incident Investigation Policy;
- Ensuring that safe Work Practice Controls are maintained in the relevant Instructional and research Laboratories;
- Denying access to Laboratory Users who have not received the requisite laboratory safety instruction, or who demonstrate an inability to follow establish laboratory space Work Practice Controls;
- Using their knowledge of safety to assist instructors in filling out required safety forms such as the Hazard Identification Form;
- Assisting the Responsible person in maintaining the relevant Laboratories in a safe operating condition; and
- Ensuring that there are no unforeseen Hazards caused by incompatible experiments run in the same area.

g) **Laboratory Users** – Anyone who is entering a lab/workshop unescorted would be a laboratory user. Laboratory user responsibilities are:

- To be aware of the hazards in the area he or she is around or working with; and handle those hazards in a safe manner;
- Observe environmental, health and safety related signs, posters, warning signals and written directions;
- Use personal protective equipment and engineering controls (e.g., fume hood) appropriate to the work;
• Properly label all chemical containers and provide secondary spill containment for all hazardous liquid chemicals;
• Curtail or stop work if the work can possibly pose and imminent danger to health or safety, and immediately notify a supervisor in the chain of authority over the work;
• Warn co-workers about defective equipment and other hazards;
• Be aware of location of safety equipment such as fire extinguishers, eyewashes, safety showers;
• Develop good safety practices and habits;
• Undertake operations in accordance with the laboratory/workshop approved procedures;
• Practice good housekeeping;
• Report unsafe conditions to the Principal Investigator, Instructor, Department Safety Officer, Laboratory Safety Coordinator, Chair or Department of Environmental Health and Safety;
• Complete required safety training;
• Be familiar with the Emergency Plan, and the emergency assembly area for their building, and participate in emergency drills; and
• Inform visitors entering his or her laboratory/workshop of potential hazards and appropriate safety rules and precautions.

h) **Visitors** - Short term visitors to laboratories will be escorted at all times by a trained Principal Investigator, Instructor, Department Safety Officer or teaching assistant.

i) **The Department of Environmental Health and Safety** – Aside from duties spelled out in other IIT Policies, the Department of Environmental Health and Safety will:
• Provide technical consulting assistance and services for fulfilling the University’s commitment to provide a safe environment and to conduct its operations in compliance with applicable laws and regulations and accepted practices for health, safety and environmental protection;
• Develop and implement safety policies;
• Provide training resources to the IIT community;
• Help laboratories achieve the use of safe work practices; and
• The Department of Environmental Health and Safety shall review safety documentation such as, but not limited to Standard Operating Procedures, Chemical Hygiene Plans, Hazard Identification Forms and Variances:
  (1) If documentation is approved it will be sent to the appropriate parties.
  (2) If documentation is not approved, the Department of Environmental Health and Safety will assist the Responsible Person with making corrections and additions.

j) **Committees** – Illinois Institute of Technology has Committees to oversee specialized hazards that have extended federal oversight. Any processes that require the use of these materials must be approved by the committees before the material can be ordered or used. Approval forms from these committees can also be used as the Standard Operating Procedure for the specific materials and processes.
• Institutional Biosafety Committee – includes oversight of the use of any Biological Hazards
• Radiation Safety Committee – Oversees the use of any radioactive material.
5) INSTRUCTION

Before a Laboratory User may utilize a laboratory, the Responsible Person, shall inform a Laboratory User of relevant Hazards the user may face in the laboratory space and instruct the Laboratory User in proper safety procedures to be followed in those areas. In the case of the Responsible Person, their Chair or Supervisor shall ensure that they receive proper safety training. This instruction should include, at a minimum, (i) a description of the nature of the Hazards, (ii) an explanation of how to protect one’s self from the Hazards, and (iii) an explanation of the relevant procedures to be observed should an incident occur. In addition, the instruction should include the following:

- Providing “hands on” instruction to ensure clarity of Laboratory User’s understanding;
- Selecting the proper Personal Protective Equipment and ensuring that it is worn;
- Demonstrating the proper use of available Personal Protective Equipment and specify items of Personal Protective Equipment that Laboratory Users must furnish themselves;
- Administering to Laboratory Users a written safety skills exam of the Instructor’s or Principal Investigator’s devising;
- Maintaining and posting an up to date list of Laboratory Users approved to use of the laboratory space; and
- Providing this list upon request the Department Safety Officer and the Faculty Laboratory Safety Coordinator.

6) UPDATE AND REVIEW

a) Review. A department must review its Program as needed, but in no event less than every annually to ensure that it is compliant with all applicable laws and IIT policies and to evaluate its effectiveness. Revised plans must be submitted to the Director of Environmental Health and Safety for final approval.

b) Updates. A laboratory must complete a new Hazardous Identification Form (Appendix A) whenever the laboratory has experienced a material change, such as, but not limited to, the use and/or introduction of a new piece of equipment which may pose safety concerns or the addition of new chemicals, including a substantial change in the quantity, quality or use of chemicals or the discontinuation of a previously used chemical.

7) RECORDKEEPING REQUIREMENTS

a) List of Safety Certified Laboratory Users. A list of Laboratory Users who have been instructed and certified to work in each lab will be updated at least once a semester by the Responsible Person, and this list will be posted in each lab or workshop and in a file maintained by the Department Safety Officer, with a copy to the Director of Environmental Health and Safety and Faculty Laboratory Safety Coordinator.

b) Safety Data Sheets. Compliant with the Globally Harmonized System sheets will be kept on file in each lab or workshop covering any hazardous materials used in that facility.
c) **Accident Reports.** Reports documenting injuries suffered in each lab or workshop will be kept in a file maintained by the Department Safety Officer, with a copy to the Director of Environmental Health and Safety and Faculty Laboratory Safety Coordinator.

d) **Plan and Procedure Manuals.** The department’s Plan and any written procedures defining approved work practice controls relevant to each laboratory or workshop shall be stored in a file in that facility and in a file maintained by the Department Safety Officer and made available upon request, with a copy to the Director of Environmental Health and Safety and Faculty Laboratory Safety Coordinator.

8) **APPROVAL**

The IIT Safety Policy Committee reviewed and recommend the adoption of this Policy on September 19, 2005, and this Laboratory and Workshop Safety Policy is approved and effective this 10th day of October 2005. Modifications and updates to this policy have been reviewed and approved and are effective as of the date noted on the cover page. The Safety Policy Committee will review the contents, implementation and effectiveness of this Policy no less than annually (but as often as necessary) to ensure that it meets all required legal and regulatory requirements and is adequately providing a safe and healthful environment for IIT faculty, employees and students.

By: ______________________  /s/ Frances Bronet
    Frances Bronet, Provost

By: ______________________  /s/ Bruce Watts
    Bruce Watts, Vice President for Administration, Facilities & Public Safety
APPENDIX A
HAZARD IDENTIFICATION FORM

PLEASE INSERT ALL REQUESTED INFORMATION BELOW FOR EACH LABORATORY USED BY YOUR DEPARTMENT. A COPY THIS FORM SHOULD BE SENT TO THE DEPARTMENT'S DEAN/CHAIR, ITS INSTRUCTORS AND THE DIRECTOR OR ENVIRONMENTAL HEALTH AND SAFETY.

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<td>HAZARD</td>
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<tr>
<td>OTHER CONDITION</td>
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Compiled by: ____________________________  
(Print Name)

Signature: ______________________________

Date: _________________________________
APPENDIX B
SAFETY VERIFICATION FORM

This Form is to be delivered to the Department’s Designated Safety Officer, __________________, prior to individuals performing any work in a laboratory or work shop.

Date Safety Instruction Provided: __________________________

Verification

I, _________________, do hereby certify that Laboratory/Workshop Safety Instruction was provided to the individuals listed below in connection with the above-referenced class on the date and by the individual above-referenced, and that the individuals listed below have demonstrated an understanding of the instruction provided. This instruction was provided in a manner that is consistent with my Department’s procedures and policies relating to laboratory/workshop safety instruction and Illinois Tech’s policy on Laboratory and Workshop Safety.

Students
(Print names – add pages as necessary)

Name of Instructor/PI: __________________________ Date: __________________________

Department: __________________________ Building & Room: __________________________

Class Title: __________________________ Instructor(s): __________________________

Name and Title of Individual Providing Safety Instruction: ________________________________________

Date Safety Instruction Provided: __________________________________________________________

Name of Instructor/PI: __________________________ Date: __________________________
I. Preparing Standard Operating Procedures for Laboratory and Workshop Activities

An important first step in planning laboratory experiments is a comprehensive evaluation of the potential hazards associated with the work. This includes hazards that may be posed by chemicals, biological and radioactive materials, equipment, physical hazards and conditions. This risk analysis should not be divorced from the other components of the planning process, but rather integrated into a single process evaluation. This evaluation should be documented and used a tool for future reference in the form of a Standard Operating Procedure. In most cases Standard Operating Procedures should be developed in a collaborative environment, with the involvement of multiple researchers as opposed to individually.

Principal investigators and Instructors must add Standard Operating Procedures to the appendices of the Chemical Hygiene plan or in the case of Laboratories that do not require a Chemical Hygiene Plan the Standard Operating Procedures should be in a binder near the entry door of the laboratory or workshop. Standard Operating Procedures are required when the chemical or process that will be used has unique hazards not covered by the general information in the Chemical Hygiene plan. This also includes information about other hazards besides chemical such as, but not limited to mechanical equipment, biological hazards, radioactive hazards, electrical work, laser work, etc. These are also required in areas that do not require Chemical Hygiene plans such as engineering shops, and machine shops. Processes that are required to be approved by committees such as the Bio-safety Committee and the Radiation Safety Committee can use the approved forms in place of a standard Operating Procedure. Instructional Laboratories may use a reference to classroom material such as workbooks or text books as long as the material includes the elements of Standard Operating Procedures discussed below.

II. Elements of a Standard Operating Procedure

There are no absolute correct or incorrect methods for developing a Standard Operating Procedure, nor is there a single acceptable format. The process is not intended to be about filling out forms; the process, when completed appropriately, ensures that safe work practices have been developed for the experimental work. Standard Operating Procedures can be integrated directly into laboratory manuals or procedural experimental guides, developed for a specific hazard such as an individual chemical or class of chemicals or specific equipment. Standard Operating Procedures can be stand-alone documents or supplemental information included as part of research notebooks, experiment documentation or research proposals. Standard Operating Procedures must contain, at a minimum, the following information:

- **Identification**: Identify, specifically, the intended scope of the Standard Operating Procedure. The Standard Operating Procedure can focus on specific processes and procedures, individual hazardous materials or groups of hazardous materials, equipment and conditions.

- **Process Hazards Assessment**: A hazards assessment which details potential hazards associated with the activity/process. This would include hazardous materials, physical hazards, equipment items electrical hazards, lasers etc.
• **Exposure Controls Review:** The hazards assessment information should be utilized to consider potential exposures using the four “routes of exposure” as a foundation.

• **Engineering Controls:** A detailed description of the engineering control requirements of the process/procedure along with a method of ensuring proper operation and efficacy.

• **Personal Protective Equipment:** A detailed description of the Personal Protective Equipment requirements of the process/procedure along with the location of supporting reference information.

• **Storage and Handling Requirements:** Detail storage requirements for hazardous materials and process handling issues specific to the procedure.

• **Proficiency and Authorization:** The training requirements for the specific procedure, or piece of equipment should be clearly defined, along with a mechanism to ensure proficiency within the laboratory. Specific procedures for access control and authorization during the procedure should also be outlined.

• **Waste Management:** Outline waste materials to be generated and appropriate waste management procedures for the work.

• **Decontamination Procedures:** Specific methods for decontamination/cleaning appropriate to the work being completed should be included.

• **Emergency Procedures:** Detail the specific procedures to be followed if emergency situations arise from the process/procedure. These steps will be based on the hazard assessment and controls sections.

The Department of Environmental Health and Safety can assist in the development of laboratory specific Standard Operating Procedures. A Standard Operating Procedure template and an example of an experimental review and completed Standard Operating Procedure have been provided for your consideration.

### III. Guideline for Writing and Formatting a Standard Operating Procedure

The purpose of this guideline is to provide advice on writing standard operating procedures so that they may be performed accurately and consistently. The goal in writing a laboratory procedure is to create a document that is easy to read, understand and follow.

Although a large amount of detail may result in Standard Operating Procedures that are too complicated for daily use, leaving out any of the major steps may lead to confusion. Since training is meant to complement the Standard Operation Procedure, the writer need not attempt to answer all possible questions or scenarios. Sufficient information should be included so as to minimize variation among users of the Standard Operating Procedure. The responsibility for writing a Standard Operating Procedure belongs to a person who is likely to use the procedure and who understands its quality assurance aspects.
A. Standard Operating Procedure Components

As a guide, the following components may be included when writing Standard Operating Procedures: Purpose/Objective, Scope, Responsibility, Definitions, Hazards and Safety Considerations, Equipment and Supplies, Procedure, Records, References and Supporting Documents, and Change Records.

B. Standard Operating Procedure Format

This guideline suggests three possible formats for a Standard Operating Procedure: hierarchical, simple steps and flowchart. Other formats exist and may be used depending on the requirements of the Standard Operating Procedure user. Two factors may be considered in determining the format of a Standard Operating Procedure: the number of decisions the user may need to make during the procedure, and the length or complexity of the procedure.

The Department of Environmental Health and Safety will also accept forms approved by committees in place of Standard Operating Procedures. These forms include, but are not limited to an approved IBC application, an approved Radiation Safety Form. If these procedures are being performed in an instructional laboratory or instructional workshop, the Department of Environmental Health and Safety will accept a reference to the classroom material, such as a workbook or textbook that the instructor is using to teach the class. The classroom material must state the specific hazards and the safety protocols that will need to be followed to avoid the hazards. If classroom material does not include that information, the instructor will be required to submit a Standard Operating Procedure.

The “hierarchical” format is a descriptive text that includes the procedure and other Standard Operating Procedure components within numbered sections and sub-sections. An example of the hierarchical format is shown in Appendix C, Example 1, Procedure for Cleaning Laboratory Glassware.

The “simple steps” format is a short list of steps and may be used for procedures that are simple and require few or no decisions. This format consists of a numbered list of simple, brief instructions.

An example of the simple steps format is shown in Appendix C, Example 2, Procedure for Preparing a Gram Stain.
APPENDIX C
STANDARD OPERATING PROCEDURES

The “flowchart” format is graphical and may be used for long procedures that require decisions. Standard geometrical shapes that indicate functional types of steps may be used.

A flattened oval represents a starting or ending point.

A rectangle indicates the worker should perform an action.

An arrow indicates the direction of flow.

A diamond indicates a decision point. It must have at least two arrows leading away from it, indicating paths to take after the decision.

An example of the flowchart format is shown in Appendix C, Example 3, Detection and Enumeration of Presumptive B. cereus in Foods.

I. Standard Operating Procedure DEVELOPMENT AND IMPLEMENTATION


Begin by writing a title for the Standard Operating Procedure. The title should be clear, concise and descriptive. For example, a Standard Operating Procedure titled “pH Meters” is not descriptive of the content; a more appropriate title would be “Operation and Calibration of pH Meters.”

Include a Title, Author, and Effective Date.

Choose a format and write the steps of the procedure. Whichever format is chosen – hierarchical, simple steps, or flowchart -- the procedure should be written concisely. If possible, use imperative sentences, which begin with an action verb, for example: “Incubate for 1 hr.” Acronyms and abbreviations should be used in moderation and only when they are widely understood, not for shorthand purposes.

Ask for comments and feedback from the individuals who will actually be executing the Standard Operating Procedure, as well as from technical experts or advisors. Revise the draft, if necessary, based on their comments.

3. Submit the Standard Operating Procedure to the Department of Environmental Health and Safety for approval.
   - If the Standard Operating Procedure is approved, the Department of Environmental Health and Safety will send a copy to the applicant, the Department Chair and the Faculty Laboratory Safety Coordinator.
   - If the Standard Operating Procedure is not approved, the Department of Environmental Health and Safety will inform the applicant of corrections needed and assist the applicant in making the changes.
   - Because of Federal, State and Local regulations, there is a possibility that some Standard Operating Procedures will not be approved. In that case, the Department of Environmental Health and Safety will inform the applicant.


   The best way to test any Standard Operating Procedure is to let someone who is not thoroughly familiar with the work follow the procedure exactly as it is written down. Observe the test and make changes as questions or hesitations come up.

5. Post the Standard Operating Procedure

   Place a copy of the Standard Operating Procedure in the Chemical Hygiene binder if applicable. If the Standard Operating Procedure is for an area that does not require a Chemical Hygiene Plan, place a copy in a binder near the entry door to the laboratory or workshop. Distribute copies to the persons who will be using the Standard Operating Procedure.

6. Conduct training.

   Schedule and conduct training in the Standard Operating Procedure, especially for new procedures and new personnel. A training attendance list including name, date of training and signature of the trainee should be posted behind the Standard Operating Procedure.
APPENDIX C
STANDARD OPERATING PROCEDURES

II. REFERENCES

1. C.V. De Sain and C.V. Sutton, Standard Operating Procedures (SOP): Content, Format, and Management, The Tamarack Group


APPENDIX C, EXAMPLE 1
PROCEDURE FOR CLEANING LABORATORY GASSWARE

1. Cleaning
   1.1 Remove all labels off glassware using a sponge or acetone.
   1.2 Wash with a laboratory detergent (Alconox or similar detergent) under hot tap water using a brush to scrub inside of the glassware, stopcocks, and other small pieces. This is a good step to use if your glassware contains any particulates.

      1.2.1 For removing organic compounds, it may be useful to use one of the following cleaning procedures:
          • A thorough rinse with pesticide grade acetone, methanol or hexane
          • Soaking in an oxidizing agent (Chromic acid or equivalent)
          • Soaking in a mixture of HCl : HNO3 (3:1 v/v)

      1.2.2 For removing inorganic compounds, it may be useful using also one of the following cleaning procedures:
          • Rinsing or soaking with HCl : H2O (1:1 v/v)
          • Rinsing or soaking with >10% HNO3
          • Soaking with a mixture of HCl : HNO3 (3:1 v/v)
          • Soaking in a mixture of sulfuric acid and hydrogen peroxide (H2SO4 and H2O2)

   1.3 Rinse thoroughly with hot tap water three times.
   1.4 Rinse thoroughly with deionized water three times.
(Nota: New glassware must be soaked overnight in 10% HNO3 or HCl. The analyst needs to determine which washing treatment would be most efficient for her glassware.)

2. Drying
   2.1 Allow glassware to thoroughly dry in the drying rack. If dry glassware is urgently needed, it may be dried in an oven at 60°C.
   2.2 Store glassware carefully during drying operations. Do not place round or oddly shaped glassware on countertops or other flat surfaces where they might roll off and break. Drying racks are the best option for most glassware. However, ensure that the glassware is adequately supported on the rack.
   2.3 Never heat volumetric class A glassware.

3. Storage
   3.1 Clean dry glassware should be sealed and stored in dust-free environment.
APPENDIX C, EXAMPLE 2
PROCEDURE FOR PERFORMING A GRAM STAIN

1. Smear Preparation
   a. Spread culture in thin film on slide
   b. Air dry
   c. Heat fix

2. Crystal Violet Stain
   a. Cover smear – Crystal Violet
   b. Stain – 30 sec.
   c. Rinse

3. Gram’s Iodine Stain
   a. Cover smear – Gram’s Iodine
   b. Stain – 30 sec.
   c. Rinse

4. Decolorization
   a. Cover smear – Decolorizer
   b. Decolorize – 10 sec.
   c. Rinse

5. Counterstain
   a. Cover smear – Safranin
   b. Stain – 30 sec.
   c. Rinse
   d. Blot dry
APPENDIX C, EXAMPLE 3
DETECTION AND ENUMERATION OF PRESUMPTIVE B. CEREUS IN FOODS

- Prepare serial dilutions: $10^{-2}$, $10^{-3}$, $10^{-4}$, $10^{-5}$, $10^{-6}$
- Spread duplicate MYPA plates with 0.1 ml
- Incubate 24 h at 30°C
- Colonies with precipitate zone/usually
- Incubate additional 24 h
- Colonies with precipitate zone/usually
- Select plates with 15 – 150 pink, lecinthinase-producing colonies
- Count typical colonies
- Calculate CFU/g
- Presumptive B. cereus

No B. cereus
Presumptive negative
Safety Policy Variance Request Process

Illinois Institute of Technology tries to have uniformity and accountability in its safety policies. The motivation for these traits is to help assure a safe place for students, faculty and staff across all campus activities.

It is realized, though, that there can be reasonable exceptions to blanket safety policies. These exceptions can be acceptable as long as they are properly reviewed, documented, and properly implemented. The official mechanism by which exceptions can be made is to apply for and be granted a Safety Policy Variance from the Department of Environmental Health and Safety which will make Safety Policy Variance Application Forms available on request.

Variance should be requested for a limited duration

Responsibilities

Deans (This term also refers to non-academic Department Heads) shall establish within their own college/department an appropriate mechanism for the specification and review of variance requests before they are submitted to the Department of Environmental Health and Safety (EHS) for approval.

Department Chairs (This term also refers to Supervisors of non-academic units) shall review and sign all requests for variances to requirements of the IIT Safety Policies/Procedures and ensure that all documents pertaining to variance requests are maintained by their College/department in auditable form. Department Chairs shall further ensure that any actions varying from the requirements established at IIT have been authorized in accordance with the provisions of this document.

The Applicant shall obtain the Department Chair approval of a proposed variance before requesting EHS approval.

The Department of Environmental Health and Safety shall review all requests for variances referred to them, coordinate other reviews as required within 10 working days of receipt, and provide appropriate recommendation for approval or disapproval to the EHS Director to be provided within 5 working days after the final review. The director of EHS or a designated alternate shall approve all requests for variances prior to the implementation of the variance.

Requesting a Variance

Requestors shall prepare written proposals for any variances to requirements of IIT using the attached form. EHS personnel are available to assist with the development of variance proposals. After approval by the requestor’s Department Chair or designee, such requests shall be submitted to the EHS Director.

In general, a Variance for a safety policy must:
APPENDIX C, EXAMPLE 3
DETECTION AND ENUMERATION OF PRESumptive B. CEREUS IN FOODS

• Be required in order to perform necessary work. Variances cannot be granted on the bases of convenience, comfort, nor tradition. It must be explicitly shown that compliance with one or more parts of the IIT safety policy makes it impossible to reasonably expect the necessary work to be done.

• Must specifically identify which parts of the safety policy the Variance addresses. The office of the University Safety Officer can help identify these.

• Specifically identify the area (room, part of a laboratory, etc.) in which the variance applies.

• Show the dates and/or times when the Variance applies. In many cases of research laboratories, this could be for up to a year in duration; in some cases, though, it may only be applicable during specified activities or laboratory class exercises.

• Must be reviewed and approved by the academic unit head.

Upon receipt of a request for a variance, EHS shall review the request to ensure that the variance will not impose undue risk to personnel or property and does not violate an applicable law, rule, statute, or regulation or a contractually required directive. Upon such assurance, the variance will be authorized by the EHS Director.

If the Department of EHS determines that the request involves a variance, exemption, or exception to a law, rule, statute, or regulation, an approval must be obtained in writing from the appropriate regulatory agency, utilizing the process prescribed to obtain relief associated with that agency. The Department of EHS will obtain this document. Requesters must note that this process will increase the time it will take to get an approved variance.

Actions or installations requiring a variance shall not proceed until the variance has been approved. In the event of a prolonged variance approval process, EHS will assist the affected organization in establishing interim procedures or measures that would allow an appropriate level of activity to continue.

It will be advisable to post the variance on or near the item, activity, or process work area; EHS will assist in making this determination.

Variances will be granted for a maximum of one year. If the variance is still necessary after one year, the initiator will submit a copy of the approved variance to the EHS Department, along with a request to extend it.

A permanent file of all requests for variances and the review and approval actions shall be maintained by the EHS Department.

Distribution of approved requests for variances shall be made by the EHS Department and shall include the affected Dean, Department Chair, the requestor and the EHS Department file.
Contractor Variances

If a variance request is made to allow for contractor activities, the Vice President of Facilities and Public Safety must sign the variance.

Forms

IIT-Safety Policy Variance Application

References

OSHA “How to apply for a variance” http://www.osha.gov/dts/otpea/variances/apply.html
IIT - Safety Policy Variance Application

Section 1 – Applicant Information
Applicant Name: _______________________________________________
Applicant office address: _________________________________________
Department: ___________________________________________________
Applicant Phone number: _________________________________________
Applicant email: ________________________________________________

Section 2 – Location
Location where Variance will take place:
___________________________________________________________________

Section 3 – Description
List the OSHA standard(s) from which the applicant is requesting the permanent variance.
___________________________________________________________________
___________________________________________________________________
___________________________________________________________________
___________________________________________________________________
List conditions are present that create the need for a variance.
___________________________________________________________________
___________________________________________________________________
___________________________________________________________________
___________________________________________________________________
Describe the means to be used as an alternative for protecting employees from hazards as effectively as compliance with the standard, and how the proposed alternative would be at least as safe and healthful for employees as the existing requirements in the OSHA standard(s) from which the applicant is requesting the variance.
___________________________________________________________________
___________________________________________________________________
___________________________________________________________________
___________________________________________________________________
The applicant certifies by the signature below that the information contained in the application is accurate and true to the best of the applicant’s knowledge.

Signature of the Applicant: ____________________________________________________________
Print Name: __________________________________________________________ Date: __________
Department Chair: __________________________________________________________
Print Name: __________________________________________________________ Date: __________
Director of Environmental Health and Safety _________________ Date: __________

Other Concerned Parties – These signatures may be required depending on the topic of the variance. The Director of Environmental Health and Safety will provide guidance on this section.

__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________

__________________________________________________________________________
ILLINOIS INSTITUTE OF TECHNOLOGY
SAFETY POLICY COMMITTEE

Laboratory Safety Inspection Policy

Approved October 10, 2005
Reviewed and Modified: January 11, 2016
Reviewed: January 9, 2017
Reviewed and Modified: January 8, 2018
Reviewed and Modified: January 14, 2019
Reviewed and Modified: January 15, 2020
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## Appendices

- Appendix A: Selected References
- Appendix B. Laboratory Inspection Form
1. PURPOSE & SCOPE

In order to provide a safe and healthful environment for study and research, free of recognizable hazards, all university departments maintaining or utilizing laboratory space will conduct an inspection at least annually in each such area. These inspections are required for compliance with the OSHA Laboratory Standard, 29 CFR 1910.1450. The University requires each department to develop and maintain a written Laboratory Inspection Plan (“Plan”) that addresses its unique risks and safety issues and complies with applicable laws and rules. In developing and maintaining their respective Plans, departments are encouraged to consult both this policy and the Chemical Hygiene Policy for Lab Safety Standards.

2. DEFINITIONS

Department Safety Officer (DSO) - a Department Safety Officer must be appointed for each department from the faculty or staff of that unit. The Department Safety Officer will have the duties and responsibilities set forth herein. (A person appointed as Department Safety Officer for this Policy may also act as a Department Safety Officer for or under other programs and policies.)

Responsible Person - faculty member, principal investigator or lab manager responsible for the operations within a designated laboratory or shop.

Laboratory - any defined space used as a laboratory, machine shop, auto shop, photographic darkroom or any other designated area where faculty, staff and/or students perform potentially hazardous tasks beyond those hazards normally associated with an office environment. The hazards to be considered include chemical, mechanical, electrical or radiation (including lasers). This space may also be used by University clubs.

Faculty Lab Safety Coordinator – a faculty member appointed by the Provost to assist departments in developing, implementing and monitoring laboratory safety standards that are consistent with IIT Laboratory Safety Policies. The Faculty Lab Safety Coordinator has the responsibility of gathering and archiving all documentation pertaining to compliance with the Laboratory Safety Policy and transmitting these to the Director of Environmental Health and Safety.

OSHA Laboratory Standard CFR 1910.1450 - federal OSHA regulation requiring all employers to develop and enforce appropriate safety procedures and policies for laboratory personnel.

3. RESPONSIBILITIES

The Director of Environmental Health and Safety, with the assistance of the Faculty Lab Safety Coordinator, is responsible for working with each Department Safety Officer to help implement and maintain compliance with the department’s Plan. The primary responsibility for writing the Plan rests with the departments. Each department’s Plan must be submitted to the Department of Environmental Health and Safety for final approval.

The Director of Environmental Health and Safety, or his or her designee, and/or the Faculty Lab Safety Coordinator will annually conduct an audit of each department’s laboratory inspection procedures and practices, and will as needed report the results of the audit in writing.
to the Campus Safety Policy Committee. Audits will specify needed remediation of any weaknesses, and departments will be expected to take appropriate corrective action within a reasonable time after delivery of the audit findings to the department.

4. PROCEDURES

In developing its Plan, each department should ensure that it addresses, as applicable, the following guidelines:

   a. The Department Safety Officer will set up a comprehensive schedule to cover all department laboratories at least annually and organize a team or teams to conduct the inspections.

   b. The Department Safety Officer will maintain a list of all the laboratories and responsible persons within the department, and will annually provide that list to the Department of Environmental Health and Safety or the Faculty Lab Safety Coordinator or when any significant changes occur.

   c. The responsible person for each laboratory will be notified of the inspection schedule and he or she (or a designated responsible party knowledgeable about the operations within the laboratory) should be present during the inspection.

   d. Each lab inspection team should consist of at least one person from the department, and the Department of Environmental Health and Safety or the Faculty Lab Safety Coordinator. If the Director of Environmental Health and Safety and Faculty Lab Safety Coordinator are unable to accommodate to the schedule, the Director of Environmental Health and Safety will designate a replacement.

   e. The inspection team should use and complete the form in Appendix B.

   f. The inspection team will issue a final report, including all deficiencies and recommendations to the responsible person of the inspected laboratory, Department Safety Officer, department chair, Director of Environmental Health and Safety and Faculty Lab Safety Coordinator. Any subsequent documentation will be given the same distribution.

   g. The report will require written responses and/or deadlines for re-inspection to determine compliance with recommendations or correction of any deficiencies.

   h. The lab inspection team will issue a compliance memorandum when all reported deficiencies and recommendations have been adequately addressed by the responsible person.

   i. Failure to respond adequately or to correct noted deficiencies may result in an escalation of the notification to the appropriate dean or vice president.

5. RECORDKEEPING

For each laboratory inspected, the inspection reports, recommendations, responses and re-inspections for the three previous inspections will be kept on file in the department office and the Department of Environmental Health and Safety office and will be made available to the Campus Safety Policy Committee upon request. A copy of the department’s Plan must also be kept on file with the DSO and made available upon request.
6. **REVIEW**

A department must review its Plan as needed, but in no event less than every two years to ensure that it is compliant with all applicable laws and University policies and to evaluate its effectiveness. Revised plans must be submitted to the Director of Environmental Health and Safety for final approval.

7. **APPROVAL**

The IIT Safety Policy Committee has reviewed and recommend the adoption of this Policy on September 19, 2005, and this Laboratory Safety Inspection Policy is approved and effective this 10th day of October 2005. The Safety Committee will review the contents, implementation and effectiveness of this Policy no less than annually (but as often as necessary) and will make modifications as necessary to ensure that it meets all required legal and regulatory requirements and is adequately providing a safe and healthful environment for IIT faculty, employees and students. Any modifications to this Policy have been reviewed and approved, and are effective as of the date noted on the cover page.

By: __________________________ /s/ __________________________
    Allan S. Myerson, Provost and Senior Vice President

By: __________________________ /s/ __________________________
    John P. Collins, Vice President for Business & Administration
Because of the uniqueness of each laboratory and the variance among the activities undertaken and the materials used therein, this Policy does not mandate compliance with a strict set of standards. This Policy requires that each department carefully review their laboratory activities and develop a Laboratory inspection Plan that ensures health and safety. To assist departments in accomplishing this goal, the following documents and websites may be of use in developing a Plan and undertaking inspections as citations of authority for recommendations or noted deficiencies. A copy of each of the books is available from the Department of Environmental Health and Safety.

Books


IIT Policies


Select Information from other Universities

Northwestern University Office of Research Safety: https://researchsafety.northwestern.edu/

## APPENDIX B
### LABORATORY INSPECTION FORM

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Administrative</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Emergency contacts and phone numbers, including off-hours (non-IIT)</td>
<td>(Y/N)</td>
<td>phone numbers are posted on each lab and storage area.</td>
</tr>
<tr>
<td>SDSs are available and clearly located.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>The Chemical Hygiene Plan is current and posted.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>Standard Operating Procedures (SOP) are available, current and posted.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>A list of authorized occupants with training completion date(s) is</td>
<td>(Y/N)</td>
<td>posted. (Occupants must have up-to-date, applicable training to be</td>
</tr>
<tr>
<td>allowed in the lab).</td>
<td></td>
<td>allowed in the lab).</td>
</tr>
<tr>
<td><strong>Means of Egress</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The lab is free of trip and slip hazards.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>Emergency exits are not locked with slide bolts, dead bolts,</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>padlocks, etc.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hallways and exits are free of obstructions and stored material.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>A minimum of 32” of egress is maintained.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>No hazardous substances/equipment such as compressed gas cylinders are</td>
<td>(Y/N)</td>
<td>stored next to exit doors.</td>
</tr>
<tr>
<td>stored next to exit doors.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Personal Protective Equipment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Safety glasses/goggles are available.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>Approved eye protection is being used.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>Face shields are available for operations with appreciable splash</td>
<td>(Y/N)</td>
<td>hazards (e.g. handling acids).</td>
</tr>
<tr>
<td>hazards (e.g. handling acids).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Appropriate shoes are being worn (ie. no sandals, flip-flops or</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>high heels).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lab coats and/or aprons are available and worn when appropriate.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
<td>Details</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>--------</td>
<td>---------</td>
</tr>
<tr>
<td>Appropriate gloves are available.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Specialized personal protective equipment (PPE required by the SOP and/or SDS is available (e.g double gloves, rubber sleeves, explosion shield, etc.).</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Appropriate clothing is worn for working in the lab (not too loose, covers skin, natural fiber, etc.).</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Defective or damages PPE is not used.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td><strong>Fire Extinguisher</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A fire extinguisher is required in this area.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>A fire extinguisher is present.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>The fire extinguisher is accessible.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>The location of the fire extinguisher is clearly visible as marked.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>The monthly and annual inspections are current.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>The fire extinguisher is securely mounted.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>The fire extinguisher is charged and the seals are intact.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td><strong>Safety Shower and Eyewash</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>An eyewash and/or shower are needed due to substances and compounds that have the capability of producing adverse effects on the health and safety of humans.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>An eyewash and/or safety shower are present.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Not blocked – must be accessible with ten (10) seconds. Path of travel free of obstructions.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>The location(s) is clearly marked.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Weekly inspections and flushing of the eyewash are current and documented.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Protective caps are in place on the eyewash.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
<td>Details</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>--------</td>
<td>---------</td>
</tr>
<tr>
<td><strong>Housekeeping</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Counters and floors are clean and clear of clutter.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td>Sinks are kept clean and free of clutter.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td>Equipment on benches is stable or secured.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td>Supplies are stored in a stable and secure manner.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td>Heavy items are stored on lower shelves.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td>Sharps disposal container(s) are provided and clearly labeled.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td>No storage within 18” of sprinkler heads.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td>Moving parts on machinery are guarded.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td>No food or drink stored in lab.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td>No chemical storage in food areas.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td>There are minimal combustibles such as boxes, paper, books etc.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td>Hot surfaces and equipment are labeled.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td><strong>General Safety</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If a first aid kit is available, it is stocked.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td>No eating, drinking or applying makeup in the lab.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td>No chemical storage in food areas.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td>Moving parts on machinery are guarded.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td>If spare doors are blocked and not in use, a “not an exit” sign is posted on the door.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td><strong>Refrigerator/freezers</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Are there any refrigerators or freezers in this lab?</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td>Refrigerator/freezer is clean and frost free.</td>
<td>( Y / N)</td>
<td></td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
<td>Details</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>--------</td>
<td>---------</td>
</tr>
<tr>
<td>Refrigerators for chemical storage are labeled “no food or drink allowed.”</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Refrigerator/freezers with flammables is UL approved to store flammables and labeled “for flammable storage.”</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Carcinogenic and highly toxic chemicals are stored in the main compartment of the refrigerator instead of the door.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td><strong>Compressed Gas</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>There are compressed gas cylinders in this laboratory?</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Cylinders are stored in upright positions and immobilized by chains or other means to prevent them from being knocked over.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Protective caps are in place when not in immediate use.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Cylinders are no more than 1 year old.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Hydro-static testing and interior inspections are up-to-date.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Cylinders are properly labeled for contents and hazards.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Cylinders are labeled Full or Empty.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Full cylinders are segregated from empty cylinders.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>All compressed gas cylinders are regularly inspected for corrosion, pitting, cuts, gouges, digs, bulges, neck defects and general distortion.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Oxygen and flammable gasses are stored separately (20 feet apart or with a fire wall in-between).</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Manual shutoff valves are provided at all points of supply and use.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Corrosive gasses are stored for no more than 6 months.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Pressure gauges and regulators are in place as appropriate and are not damaged.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Regulators are compatible with the gas cylinder.</td>
<td>( Y / N )</td>
<td></td>
</tr>
</tbody>
</table>
Toxic, flammable, and corrosive gases are used under a fume hood or where there is approved adequate ventilation. (Y/N)

Hoses and tubing are in good condition. (Y/N)

Teflon tape is not used on CGA fittings (straight thread) where the seal is made by metal-to-metal contact. (Y/N)

Cylinder carts are available for transport. (Y/N)

### Chemical Hygiene and Storage

- Appropriate hazard warning signs posted on door and storage areas (e.g. Cancer Agent). (Y/N)
- All chemical containers are kept closed. (Y/N)
- All containers labeled legibly with content, manufacturer, and hazard warning. (Y/N)
- Storage containers are in good condition: no rust, leakage, dents, or crystallization. (Y/N)
- Glass storage containers are limited to 1 gallon/4 liter size or smaller. (Y/N)
- Peroxide formers, shock sensitive, and/or reactives are labeled and dated upon receipt and opening. (Y/N)
- Peroxide forming chemicals disposed of within 3-12 months after opening depending upon the compound. (Y/N)
- Acid and bases are stored separately from solvents. Exception: store acetic acid with solvents. (Y/N)
- Manufacturer expiration dates are observed. (Y/N)
- Water reactive chemicals stored away from water (liquid) and water (liquid) vapor. (Y/N)
- Corrosive and flammable chemicals are stored below eye level. (Y/N)
- Corrosives are stored on plastic trays in acid cabinets with plastic shelving. (Y/N)
- Chemical containers are not stacked. (Y/N)
- Glass storage containers are limited to 1 gallon/4 Liter size or smaller. (Y/N)
<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>No more than 10 gallons of flammable liquid are stored outside a flammable liquid cabinet.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>No more than 40 gallons of flammable liquid stored per lab.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Carcinogens, reproductive toxins and highly toxic chemicals stored and used in a designated and labeled area. No open bench storage.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>All chemicals must be stored in their chemical group. If multiple groups are on a shelf they must be separated by secondary containment.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Opened 5 gallon/20 Liter containers should be placed in secondary containment.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td><strong>Ventilation</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>This Lab has a fume hood.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>If chemicals or hazardous substances are in the fume hood, the fan is on with the sash lowered.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Hood sash is in working order - not stuck, broke or removed.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Equipment and materials are positioned and used at a minimum of 6” from the front of the hood.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Airfoils are not altered or removed.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Equipment or materials do not obstruct air flow.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Equipment used in the hood is raised above the work surface to allow proper air flow.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Hood interior is clean, uncluttered and not used as permanent storage.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Annual hood certification present indicating face velocity is 100-120 fpm.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Arrows indicating the correct sash height posted.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Hood low flow alarms present and operational.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Perchloric Acid hoods labeled &quot;For Perchloric Acid Operations Only&quot;.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Interior lighting is working properly.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
<td></td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>--------</td>
<td></td>
</tr>
<tr>
<td><strong>Personal Protective Equipment (PPE)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Safety glasses/ eye protection available.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Lab coats and aprons available.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Face shields available for operations with appreciable splash hazards (e.g. handling acids).</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Appropriate shoes worn (e.g. no sandals, no high heels).</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Appropriate gloves available.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td><strong>Biosafety</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>This lab is used for Bio-hazards.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>The approved IBC Protocol Application Form is Posted.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Annual certification of biosafety cabinet present.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Appropriate hazard warning signs posted on door and storage areas (e.g. Biohazard - Legionella Pneumophilia)</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>All containers labeled for content and hazard.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Biological waste containers labeled.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Sharps containers provided and clearly labeled.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Municipal trash containers free of biohazardous waste.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td><strong>Radioactive Laboratories</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Radioactive materials are used in this lab.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Radioactive materials label on the door, refrigerators, equipment, etc.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Radioactive materials are secured (door kept locked or personnel present).</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>The radioactive waste is properly stored and labeled.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Radioactive materials are in labeled containers.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
<td>Details</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>--------</td>
<td>---------</td>
</tr>
<tr>
<td>All occupants have current training records.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>The work areas and radioactive sinks are demarcated.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>All work areas are covered with absorbent paper.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>All individuals in the room are wearing dosimeter badges.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Inventory logs are current.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>An incidental sink disposal log is present.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Laser labs are posted at the entrance.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Lasers are labeled with the class and hazard warnings.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Eye protection is appropriate for the laser that is present and worn during operation.</td>
<td>( Y / N )</td>
<td></td>
</tr>
</tbody>
</table>

**Chemical Waste Management**

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hazardous waste is generated in this laboratory.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Hazardous Waste Plan present.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Waste is stored in a designated area which is posted “Satellite Chemical Waste Accumulation Area.”</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Accumulation containers are clearly marked as “Hazardous Waste”.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Waste containers labeled with chemical constituents and approximate percentages.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Waste containers are labeled with a start date.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Containers are compatible with waste.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Waste does not exceed 55 gallons/208.2L of hazardous waste or 1 quart of acutely hazardous waste.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Waste containers closed and in good condition.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Secondary containment of wastes stored outside hood.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Municipal trash containers free of chemical waste.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
<td>Details</td>
</tr>
<tr>
<td>--------------------------------------------------------------------------</td>
<td>--------</td>
<td>---------</td>
</tr>
<tr>
<td>Waste is regularly removed from the lab and occupants know the procedure for arranging removal.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td><strong>Office Space</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is there a designated office area in this lab?</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>The Department of Environmental Health and Safety or their alternate has approved in writing that this area may be used as an office area.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>The area is clearly marked to show that chemicals/other hazards are not allowed.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>The area is clearly marked where PPE is not required and food and drink may be consumed.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>There is proof that people using the area have been trained where the boundaries are and what safety precautions must be followed (e.g. no gloves, contaminated lab coats, wash hands before eating or drinking, etc.)</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>The office area is free of tripping hazards (e.g., cables, loose tiles, damaged carpet).</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Electrical cords and plugs are in good condition.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Workstation set-up provides a minimum of 28” egress.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Office supplies stacked in a stable and secure manner.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Hallways and exits are clear.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Coffee pot not placed on or near combustible material.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>There is minimal combustibles such as paper, cardboard, books, etc.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td><strong>Building Condition</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>There are no unsealed holes or pen pipe/conduit through floors, ceilings, walls present.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>The duct work is sealed.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>There are no loose floor tiles present.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
<td>Details</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>--------</td>
<td>---------</td>
</tr>
<tr>
<td>There are no loose ceiling tiles present.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>There is no chipping/peeling paint present.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>There is no suspect friable asbestos.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>There is no exposed Mastic.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>There is no sign of bugs/rodents present (excluding those used for experiments).</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>There are no leaking pipes.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Faucets and drains work properly (e.g. no leaks, turn on and off smoothly, no damaged valves).</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td><strong>Electrical</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The work area is illuminated.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Emergency lights work if present.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Electric cords and plugs are in good condition with no splices, breaks in insulation, removed grounding, etc.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>No equipment or supplies are resting on electric cords.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>All extension cords and equipment cords are placed in such a manner so as to minimize the risk of tripping over a cord.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>All cords are run so as to prevent damage to the cord insulation.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Surge protectors are temporary and are prohibited to use for more than 90 days, unless they are protecting computers or sensitive equipment.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Extension cords are temporary and remain in use for less than 90 days.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Electrical outlets are not overloaded with appliances.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>All extension cords have the wires with a minimum size of 14 WG.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Extension cords and/or surge protectors are not daisy chained.</td>
<td>( Y / N )</td>
<td></td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
<td>Details</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>--------</td>
<td>-------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Electrical hand tools/equipment is properly grounded and double insulated.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>All electrical panels have a clear area at least 36 inches by 36 inches, centered on the panel, in front.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>All the face-plates for the switches, junction boxes and receptacles are present and completely cover the switch/receptacle wiring.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>Any receptacles near water sources are protected by Ground Fault Circuit Interrupters GFCI.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>Power cords are not routed through walls, windows, ceilings, floors or similar openings.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>Switches and circuit breakers are properly identified as to the service they are in and what they control.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>Multi-outlet power strips are Underwriters Laboratories (UL) listed and have circuit breakers.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>Energized parts, circuits and equipment are guarded against accidental contact.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>Only qualified employees with NFPA 70E training work on electrical systems.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>Equipment has been approved by recognized standards agencies and testing laboratories such as Institute of Electrical and Electronic Engineers (IEEE), UL, U.S. Bureau of Mines and National Electrical Manufacturers Association; or equipment not approved by these agencies has been approved, in writing by the Department of Environmental Health and Safety.</td>
<td>(Y/N)</td>
<td></td>
</tr>
<tr>
<td>Equipment has operation manuals or an SOP to cover operation.</td>
<td>(Y/N)</td>
<td></td>
</tr>
</tbody>
</table>

**Special or Unique Hazards**

List any special or unique hazards.
Chemical Hygiene Policy for Lab Safety Standards

Approved: October 10, 2005
Reviewed and Modified: October 5, 2009
Reviewed and Modified: April 30, 2012
Reviewed: January 11, 2016
Reviewed: January 9, 2017
Reviewed and Modified: January 8, 2018
Reviewed: January 14, 2019
Reviewed and Modified: January 15, 2020
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APPENDICES

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APPENDIX B: CHEMICAL INVENTORY

APPENDIX C: PARTICULARLY HAZARDOUS SUBSTANCES

APPENDIX D: EMERGENCY CONTACTS
1. PURPOSE

This Policy is designed to provide information and guidance to departments for the purpose of assisting them in complying with the OSHA Laboratory Safety Standard, 29 CFR 1910.1450. IIT requires each department to develop and maintain a written Chemical Hygiene Plan that addresses the unique risks and safety issues of the department and complies with applicable laws and rules. In accordance with this Policy, each department’s Plan must be submitted to the IIT Director of Environmental Health and Safety, who, under this Policy, is the designated Chemical Hygiene Officer, for final approval.

2. SCOPE

The Policy covers all faculty, staff and/or students working in a laboratory with hazardous chemicals. The written chemical hygiene plan (“Plan”) must specify procedures and work practices to protect faculty, staff and/or students working with hazardous chemicals in a laboratory.

3. DEFINITIONS

Chemical Hygiene Officer – The Chemical Hygiene Officer reviews and approves the Chemical Hygiene Plan developed by the departments. The designated Chemical Hygiene Officer is the Director of Environmental Health and Safety. The Chemical Hygiene Officer is also available to consult with departments as they develop their Plans. The Chemical Hygiene Officer also audits Plan compliance.

Department Safety Officers – A person appointed by the head of a department from the faculty or staff thereof. The Department Safety Officer has the responsibility for developing, implementing and monitoring his or her department’s Plan. A department head may appoint Assistant Department Safety Officer’s as needed with clearly defined responsibilities.

Hazardous Chemical – Any element, chemical compound or mixture of elements and/or compounds which is a physical hazard or a health hazard. Unknown elements and chemical compounds must be assumed to be hazardous chemicals.

Health Hazard – A chemical or element for which there is statistically significant evidence based on at least one study conducted in accordance with established scientific principles that acute or chronic health effects may occur due to exposure.

Labels – Information attached to containers of chemicals. Labels on chemical containers must not be removed until the container is empty as defined by 40 CFR 261.7. Secondary containers will be labeled with the name of the chemical and must display appropriate hazard warnings (flammable, corrosive, radioactive, etc.) as applicable. A secondary container is any device used for the transportation, storage, dispensing or use (reaction) of a chemical and includes such things as beakers, flasks, test tubes, sample bottles, tanks, reaction vessels, etc.

Faculty Laboratory Safety Coordinator – A faculty member appointed by the Provost to assist departments in developing, implementing and monitoring laboratory safety standards that are consistent with IIT Safety Policies.

Safety Data Sheet – a written, electronic or printed document describing a hazardous chemical which is prepared in accordance with 29 CFR 1910.1200, paragraph (g). More generally, it is an informational tool.
generated by manufacturers and suppliers of chemicals to provide safety information. A SDS must be on file for each chemical used in a laboratory.

**Particularly Hazardous Substances** – OSHA defines these substances as materials with a high degree of acute toxicity. It includes carcinogens, reproductive toxins (mutagens or teratogens) and materials of unknown toxicity. Carcinogens are defined as NTP listed materials, IARC Group 1 (carcinogenic to humans), Group 2A (probably carcinogenic to humans) and 3B (possibly carcinogenic to humans) listed substances.

**Personal Protective Equipment (PPE)** – PPE is equipment employees wear to provide a protective barrier between themselves and a potential hazard. Examples include, but are not limited to, safety glasses, lab coats, goggles, face shields, disposable garments, respirators and gloves.

**Physical Hazard** – A chemical or element for which there is scientifically valid evidence that it is a combustible liquid, a compressed gas, explosive, flammable, an organic peroxide, an oxidizer, pyrophoric, unstable (reactive) or water-reactive.

4. **RESPONSIBILITIES**

In general, the Chemical Hygiene Officer, with the assistance of the Faculty Laboratory Safety Coordinator, is responsible for aiding, as needed, each designated departmental safety officer to develop, implement and maintain compliance with his or her department’s Chemical Hygiene Plan. The Chemical Hygiene Officer shall be responsible for reviewing and approving each department’s Plan to ensure that it is consistent with this Policy and applicable regulatory requirements, including, without limitation, those of the Environmental Protection Agency and the Occupation Safety and Health Administration. However, the primary responsibility for the Plan rests with the departments. Specifically, department chairs or directors of administrative units are responsible for the development of their department’s or unit’s Plan and their department’s or unit’s compliance with the Plan, which includes appointing a Department Safety Officer. The Deans are responsible for ensuring that the department chairs or directors of administrative units reporting to them understand and perform their duties with respect to their Plans.

Plans are to indicate that Principal Investigators (or such other individual designated as responsible for the laboratory by the relevant department chair or unit director) have the primary responsibility for chemical hygiene in the laboratory for which he or she is responsible and that he or she is expected to:

- Acquire the knowledge and information needed to recognize and control chemical hazards in the laboratory;
- Conduct workplace hazard assessments;
- Select and employ laboratory practices and engineering controls that reduce the potential for exposure to hazardous chemicals to the appropriate level;
- Inform those working in the laboratory of the potential hazards associated with the use of chemicals present and instruct them in the safe laboratory practices, adequate controls and procedures for dealing with accidents involving hazardous chemicals;
- Supervise the performance of those working in the laboratory to ensure the required chemical hygiene rules are followed;
- Ensure that those working in the laboratory attend required safety training;
• Obtain approval from the Chemical Hygiene Officer prior to using particularly hazardous substances;
• Develop an understanding of current regulatory requirements relating to the hazardous substances used in the laboratory;
• Ensure that chemical hazardous waste is properly collected, labeled and stored; and
• Inform visitors entering the laboratory of potential hazards and appropriate safety rules and precautions.

Plans are to indicate that those working in a principal investigator’s laboratory are responsible for and expected to:

• Be aware of the hazards of the materials he or she is around or working with, and handle those chemicals in a safe manner;
• Undertake operations in accordance with the procedures set forth in the Plan;
• Develop good chemical hygiene (safety practices and procedures) habits;
• Report unsafe conditions to the principal investigator, Department Safety Officer or Chemical Hygiene Officer;
• Attend required safety training;
• Properly collect, label and store chemical hazardous waste; and
• Inform visitors entering The laboratory of potential hazards and appropriate safety rules and precautions.

The Chemical Hygiene Officer, or his or her designee, will annually conduct a safety audit of each department’s laboratories, which will include a review of each laboratory’s compliance with the Plan, and will report the results of the audit in writing to the principal investigator and his or her department chair. The Chemical Hygiene Officer is also authorized to investigate any alleged, suspected or reported non-compliance with this Plan. To the extent feasible, the Faculty Laboratory Safety Coordinator will accompany the Chemical Hygiene Officer on such safety audits. Audits will specify needed remediation of any hazards or otherwise dangerous conditions and laboratories will be re-inspected within a reasonable time after delivery of the audit findings to the department to make sure the remediation has occurred. (See IIT Laboratory Inspection Policy)

5. PROCEDURES

In developing its written Plan, each department should ensure that its Plan addresses, as applicable, the following guidelines:

A. General Requirements – Each department will evaluate its laboratories and specify PPE requirements. Eating, drinking and storage of food must be prohibited in laboratories. Each department should complete Appendix A, which identifies the laboratory, department, location and responsible faculty members, keep a copy on file in the departmental office and forward one to the Chemical Hygiene Officer and update the document as needed.

B. Health Hazard Information – Manufacturers and suppliers of chemicals are responsible for providing health hazard data to end users. This typically comes in the form of a SDS or product
specification sheet. Facilities using these materials must evaluate this information and educate the users on the potential hazards a material may present.

C. **Storage** – Chemicals should be segregated and stored by hazard class. Some common classes are: acid, base, flammable and oxidizer. Flammable liquids must be stored in approved flammable liquid cabinets. Lab hoods and bench tops must not be used for long term storage of chemicals. **Appendix B** contains a chemical inventory of laboratory form, which a department must complete for each of its laboratories. A copy should be kept on file in the departmental office, and one forwarded to the Chemical Hygiene Officer.

D. **Chemical and Hazardous Waste Accumulation and Disposal** – All chemical wastes generated in the laboratory must be evaluated under the Environmental Protection Agency’s (EPA) Resource Conservation and Recovery Act (**RCRA, 40 CFR 261**) to determine the appropriate classification for disposal. The Plan must address chemical and hazardous waste identification, accumulation and disposal. All persons who may generate or handle chemical or hazardous waste must be trained in the appropriate methods of managing this waste in the laboratory. The disposal of all hazardous and chemical waste is handled by the Department of Environmental Health and Safety.

E. **Emergency Response** – In the event of a spill or chemical release or medical emergency, contact IIT Public Safety at 312-808-6363 to report the incident. In the event of a radiological emergency, contact the IIT Radiation Safety Officer at 847-965-1999. In the event of a fire or building evacuation, IIT Emergency Response procedures should be followed. See IIT Fire & Life Safety Policy Manual.

F. **Exposure Control Methods** – Each person working in a laboratory is responsible for following prudent practices. Engineering controls such as hoods, biological safety cabinets and local exhaust ventilation are primary control methods. Personal protective equipment may also be used to control potential exposures.

G. **Lab Hoods/Biological Safety Cabinets** – Lab hoods should be installed to operate at 80-100 feet per minute (fpm) under typical operating sash heights and conditions. Contact the Department of Facilities at 312-567-3320 for hood testing or enter request in HawkWorks work order system through the MyIIT portal.

H. **Medical Examinations** – Faculty, staff and/or students working in a laboratory should have the opportunity for medical consultation and follow-up under the following circumstances:

   a. Whenever signs or symptoms associated with exposure to a hazardous chemical develop;
   b. Air monitoring indicates an exposure level exceeds an established exposure limit for a chemical; or
   c. An exposure occurs in the lab or work area.

I. **Particularly Hazardous Substances** – **Appendix C** contains an inventory of Particularly Hazardous Substances form, which must list special handling precautions and additional information for each laboratory in which these substances are used and/or stored. The department must complete a form, keep a copy on file in the departmental office and forward one to the Chemical Hygiene Officer.
J. **Training** - Faculty, staff and/or students working in a laboratory must be provided training by the responsible department. At a minimum, training must include: contents of the Plan, availability of Plan, location of SDS’s, potential hazards in the lab, methods to detect presence of a hazardous chemical, control methods for potential exposures, use of PPE, managing wastes and emergency response actions. The Chemical Hygiene Officer may also require such additional training as is required or reasonable under the circumstances.

K. **Review** – A department must review its Plan as needed but in no event less than every two years to ensure that it is compliant with all applicable laws and IIT policies and to evaluate its effectiveness. Revised Plans must be submitted to the Chemical Hygiene Officer for final approval.

L. **Updates** – A department must complete a new General Lab Information Form, Chemical Inventory Form and Particularly Hazardous Substance Form whenever the department has experienced a material change, such as, but not limited to, the use and/or introduction of a new chemical or the discontinuation of a previously used chemical.

5. **RECORDKEEPING REQUIREMENTS**

The Chemical Hygiene Officer will establish and maintain records of all exposure monitoring performed. Each department will provide training and maintain records for all faculty, staff and/or students working in a laboratory. Copies of training records should be forwarded to the Chemical Hygiene Officer. Copies of laboratory audits will be maintained by the department chair and the Chemical Hygiene Officer.

6. **APPROVAL**

The IIT Safety Policy Committee has reviewed and recommend the adoption of this Policy on September 19, 2005, and this Chemical Hygiene Policy for Lab Safety Standards is approved and effective this 10TH day of October 2005. The Safety Policy Committee will review the contents, implementation and effectiveness of this Program no less than annually (but as often as necessary) and will make modifications as necessary to ensure that it meets all required legal and regulatory requirements and is adequately providing a safe and healthful environment for IIT faculty, employees and students. Any modifications to this Policy have been reviewed and approved, and are effective as of the date noted on the cover page.

By: /s/ Allan S. Myerson  
Provost and Senior Vice President

By: /s/ John P. Collins  
Vice President for Business & Administration
APPENDIX A
GENERAL LAB INFORMATION

PLEASE INSERT ALL REQUESTED INFORMATION BELOW FOR EACH LABORATORY USED BY YOUR DEPARTMENT. A COPY THIS FORM SHOULD BE RETAINED IN THE DEPARTMENT OFFICE AND ONE SENT TO THE CHEMICAL HYGIENE OFFICER.

NAME OF BUILDING: ________________________________

LAB/ROOM #: __________________________________

TYPE OF LAB: __________________________________

DEPARTMENT RESPONSIBLE: ________________________

FACULTY RESPONSIBLE: ____________________________
APPENDIX B
CHEMICAL INVENTORY

PLEASE INSERT ALL REQUESTED INFORMATION BELOW FOR EACH LABORATORY USED BY YOUR DEPARTMENT. A COPY THIS FORM SHOULD BE RETAINED IN THE DEPARTMENT OFFICE AND ONE SENT TO THE CHEMICAL HYGIENE OFFICER.

<table>
<thead>
<tr>
<th>CHEMICAL NAME</th>
<th>MAXIMUM QTY ON HAND</th>
<th>HAZARD CLASS</th>
</tr>
</thead>
</table>

APPENDIX C
PARTICULARLY HAZARDOUS SUBSTANCES

PLEASE INSERT ALL REQUESTED INFORMATION BELOW FOR EACH LABORATORY USED BY YOUR DEPARTMENT. A COPY THIS FORM SHOULD BE RETAINED IN THE DEPARTMENT OFFICE AND ONE SENT TO THE CHEMICAL HYGIENE OFFICER.

CHEMICAL NAME:

HAZARD:

REQUIRED PPE:

SPECIAL PRECAUTIONS/OTHER INFORMATION:

CHEMICAL NAME:

HAZARD:

REQUIRED PPE:

SPECIAL PRECAUTIONS/OTHER INFORMATION:

CHEMICAL NAME:

HAZARD:

REQUIRED PPE:

SPECIAL PRECAUTIONS/OTHER INFORMATION:

CHEMICAL NAME:

HAZARD:

REQUIRED PPE:

SPECIAL PRECAUTIONS/OTHER INFORMATION:
APPENDIX D
EMERGENCY CONTACTS

Main Campus

IIT Public Safety

Emergency    312-808-6363   or   Ext 8-6363
Non-emergency  312-808-6300   or   Ext 8-6300
Student Health Services   312-567-7550   or   Ext 7-7550

Department of Environmental Health and Safety
(Chemical Hygiene Officer)

Telephone  312-567-3084   or   Ext 7-3084
Cell Phone  312-720-2393

Radiation Safety Officer   847-965-1999 (24-hour answering service)

Moffett Campus

Bedford Park Police and Fire Department

Emergency   911
Fire Dept. HAZMAT  708-563-4510

Institute for Food Safety & Health
During business hours: Guard Station (lobby)  708-563-8195
After business hours: Guard Station (gatehouse)  708-563-8280

Safety Contacts
IIT Safety Officer Ed Steiner   708-308-8911   Mobile: 708-269-2903
Richard McDonald (FDA)   708-924-0623   Mobile: 240-401-1493
ILLINOIS INSTITUTE OF TECHNOLOGY
SAFETY POLICY COMMITTEE

Vacant Laboratory Guide

Approved: October 13, 2014
Reviewed and Modified: March 7, 2016
Reviewed: March 5, 2018
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EXHIBITS

EXHIBIT A – VACANT LAB CHECKLIST ...................................................................6
1. **PURPOSE:**

   This document provides guidance for securing and maintaining vacated or vacant laboratory space at Illinois Institute of Technology (“IIT”).

2. **SCOPE:**

   This guidance applies to all IIT research laboratories and laboratory support areas, including in the event such space is vacated or partially vacated.

3. **DEFINITIONS:**

   3.1. **Academic Unit Head** – IIT faculty or staff member with direct managerial control of Principal Investigators, researchers and others who use laboratories. In most cases, this will be the chair of the department, but in limited circumstances may be the Dean or Associate Dean of the department.


   3.3. **Hazardous chemical** – refer to IIT’s Chemical Hygiene Policy for Lab Safety Standards.

   3.4. **Material Safety Data Sheet/Safety Data Sheet (MSDS/SDS)** – a written, electronic or printed document describing a hazardous chemical which is prepared in accordance with 29 CFR 1910.1200, paragraph (g). More generally, it is an informational tool generated by manufacturers and suppliers of chemicals to provide safety information. An MSDS/SDS must be on file for each chemical used in a laboratory.

   3.5. **Principal Investigator** – IIT faculty or staff member who has primary responsibility for the design, execution, and management of a research project and who will be involved in the project in a significant manner through the use of laboratory facilities.

   3.6. **Designated Safety Officer (DSO)** – refer to IIT’s Chemical Hygiene Policy for Lab Safety Standards.

   3.7. **University Faculty Safety Coordinator** – IIT faculty member appointed by the Provost to assist departments in developing, implementing and monitoring laboratory safety standards that are consistent with applicable IIT safety policies.

   3.8. **Director of Environmental Health and Safety (DEHS)** – IIT’s Director of the Department of Environmental Health and Safety, or his or her authorized designee.
4. POLICY:

4.1. **General**: It is anticipated that periodically laboratories at IIT may be closed or unused for an extended period of time for any number of reasons, including redesign, renovation, disuse or the departure of an IIT faculty or staff member. This guide provides IIT faculty and staff with information on the safe and proper procedures for decommissioning, transferring or otherwise closing a laboratory or laboratory support area, or any portion thereof.

4.2. **Responsibilities**: The administrative or academic unit to which the laboratory space is assigned has the primary responsibility to report partially vacated or soon to be vacated laboratory space to the DSO and DEHS. This reporting requirement applies in the event that one or more researchers discontinue their respective use of such space, but lab continues to be used by others. Thereafter, the Principal Investigator or Academic Unit Head, as the case may be, shall assist in completing and documenting the tasks outlined in Section 4.3 below. The responsible party may use Exhibit A to document the decommissioning activities to the DSO and DEHS. IIT’s DEHS or the University Faculty Safety Coordinator can assist the Academic Unit Head if any safety questions arise during the process.

4.3. **Checklist**: In general, the following steps shall be completed and documented:

4.3.1. The Academic Unit Head shall inform the DSO and DEHS of the vacated laboratory as soon as possible, but no later than one (1) month after the lab has been vacated.

4.3.2. The Academic Unit Head shall appoint a faculty or staff member to oversee the safe decommissioning of the laboratory and notify the DSO and DEHS. This may be a Principal Investigator, the relevant DSO or any other individual who, in the judgment of the Academic Unit Head, is best qualified to coordinate the work.

4.3.3. The Academic Unit Head and the DEHS shall agree on a date or deadline for the vacated laboratory process to be completed.

4.3.4. Capital equipment shall be inspected. After such an inspection, the equipment may be discarded, recycled or stored at the discretion of the Academic Unit Head. Capital equipment without appropriate documentation shall be recycled or discarded, as appropriate.

4.3.5. Chemicals, solvents, or other similar materials shall be considered initially as hazardous and be disposed of, unless the Academic Unit Head acknowledges the continued and anticipated use for such material. Any substances without an applicable MSDS/SDS or proper labeling shall be disposed of properly. (See IIT’s Chemical Hygiene Policy and Lab Safety Standards.)
4.3.6. Used glassware, plastic ware, metal or plastic tubing, valves or other fittings used for chemical transfer shall be considered contaminated with hazardous materials and shall be properly discarded. (See IIT’s Chemical Hygiene Policy for Lab Safety and, if applicable, Sharps Waste Management Policy.)

4.3.7. Opened containers of any kind of chemical, solvent or other similar material (including gas cylinders) shall be properly disposed of in accordance with IIT’s Chemical Hygiene Policy for Lab Safety Standards.

4.3.8. Unopened chemical containers shall be discarded or stored in a separate area at the discretion of the Academic Unit Head in accordance with IIT’s Chemical Hygiene Policy for Lab Safety Standards. Records concerning the relocation of such materials shall be transmitted to DEHS through the chemical inventory system.

4.3.9. Pertinent electrical equipment or instrumentation shall be inspected, and electrical equipment that is not functioning, that is damaged or for which there is not an appropriate operations manual handy or readily available online shall be discarded; please refer to IIT’s Electrical Safety Policy.

4.3.10. All fume hoods shall be emptied and checked for proper airflow.

4.3.11. All electrical outlets and power sources shall be inspected for proper operation. The Academic Unit Head shall follow the notification and repair procedures outlined in the Electrical Safety Policy concerning any non-functioning electric outlets or power sources.

4.3.12. Use of flexible and temporary wiring, such as extension cords and power strips, shall be discontinued and these items shall be inspected in accordance with IIT’s Electrical Safety Policy. Items that are undamaged and UL listed may be retained and moved to another location at the discretion of the Academic Unit Head. Damaged or non-UL listed items shall be discarded.

4.3.13. All computers, printers and peripherals shall be recycled, or retained and moved to another location at the discretion of the Academic Unit Head.

4.3.14. All sinks, faucets, or other plumbing must be checked for proper operation; if the plumbing is not functioning properly, the Academic Unit Head shall contact IIT’s Department of Facilities and Public Safety or initiate a work order request through the FAMIS system.

4.3.15. All used paper, cardboard, packing material, or other combustible substances shall be properly discarded or recycled. All unopened paper, cardboard, packing material, or other combustible substances shall be retained or discarded at the discretion of the
Academic Unit Head; any retained materials shall be stored consistent with IIT’s Storage Policy.

4.3.16. All storage equipment, such as refrigerators, shelving, hazardous or flammable materials cabinets, shall be inspected; any such equipment that is damaged beyond reasonably cost effective repairs shall be discarded; please refer to IIT’s Electrical Safety Policy.

4.3.17. All other items, with the exception of fixtures and furniture, shall be removed from the laboratory and properly stored or discarded at the discretion of the Academic Unit Head.

4.3.18. All permanent laboratory fixtures and furniture shall be inspected; the Academic Unit Head shall ensure that any damaged fixtures or furniture that could pose any type of hazard shall be discarded or recycled, as appropriate.

4.3.19. The completed checklist shall be submitted to the DESH for the purpose of archiving no later than one (1) week after its completion.

4.4. Reuse and Reassignment. Prior to the reuse or reassignment of laboratory space, the Academic Unit Head, or his or her designee, shall perform a visual inspection of the relevant area(s) to confirm the successful completion of the foregoing checklist items.

5. CONTACT INFORMATION:

   Timothy Morrison, Ph.D.
   University Faculty Safety Coordinator
   IIT Department of Physics
   172 Life Sciences Building
   (312) 567-3381
   morrison@iit.edu

   Cindy Chaffee, Director
   IIT Department of Environmental Health and Safety
   10 W 35th St., 10F7-1, Chicago, IL 60616
   (312) 567-3084
   cchaffee@iit.edu
6. **APPROVAL:**

The IIT Safety Committee has reviewed and recommend the adoption of this Policy on October 13, 2014, and this Vacant Laboratory Guide is approved and effective this 14th day of October 2014. The Safety Committee will review the contents, implementation and effectiveness of this Policy no less than annually (but as often as necessary) to ensure that it meets legal and regulatory requirements and adequately provides a safe environment for IIT faculty, employees and students.

By: ____________________________ /s/ Alan W. Cramb
    Provost and Senior Vice President

By: ____________________________ /s/ Bruce Watts
    Bruce Watts, Vice President for Facilities & Public Safety
EXHIBIT A
Vacant Lab Checklist

Building __________________________________ Room Number ________________________________

Date Vacated______ Academic Unit Head ______________________________________________

Appointee responsible for Compliance________________________________________________

Date Lab must comply ____________________________

<table>
<thead>
<tr>
<th>Item</th>
<th>Task</th>
<th>check</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Academic Unit notified the University Safety Officer (USO) of vacated, partially vacated or soon to be vacated lab space.</td>
<td>☐</td>
</tr>
</tbody>
</table>

Capital Equipment | Yes ☐ | No ☐ |
<table>
<thead>
<tr>
<th></th>
<th></th>
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<tbody>
<tr>
<td>2.</td>
<td>Capital Equipment has been inspected</td>
<td>☐</td>
</tr>
<tr>
<td>3.</td>
<td>Capital Equipment has been discarded or appropriately stored</td>
<td>☐</td>
</tr>
<tr>
<td>4.</td>
<td>Retained capital equipment is in good working order and has appropriate supporting documentation</td>
<td>☐</td>
</tr>
</tbody>
</table>

Chemicals | Yes ☐ | No ☐ |
<table>
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<tbody>
<tr>
<td>5.</td>
<td>Any substance without a label or MSDS/SDS has been disposed of</td>
<td>☐</td>
</tr>
<tr>
<td>6.</td>
<td>All unopened containers have been disposed of or stored or relocated</td>
<td>☐</td>
</tr>
<tr>
<td>7.</td>
<td>Records of relocated material have been sent to the USO</td>
<td>☐</td>
</tr>
<tr>
<td>8.</td>
<td>Any substance that has been relocated must have MSDS/SDS, label, and be used within 1 year</td>
<td>☐</td>
</tr>
</tbody>
</table>

Containers/supplies | Yes ☐ | No ☐ |
<table>
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<th></th>
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</thead>
<tbody>
<tr>
<td>9.</td>
<td>All open containers including gas cylinders have been properly disposed of</td>
<td>☐</td>
</tr>
<tr>
<td>10.</td>
<td>All supplies (e.g. glassware, containers, papers, tubing, etc…) have been disposed of unless it is determined that they are not contaminated and will be used within 1 year</td>
<td>☐</td>
</tr>
<tr>
<td>11.</td>
<td>All used glassware, plastic ware, metal or plastic tubing, valves or other fittings used for material transfer have been disposed of</td>
<td>☐</td>
</tr>
<tr>
<td>12.</td>
<td>All used paper, cardboard, packing material or other combustible substances have been properly disposed of</td>
<td>☐</td>
</tr>
<tr>
<td>13.</td>
<td>Properly functioning equipment has been disposed of or retained in a separate area.</td>
<td>☐</td>
</tr>
</tbody>
</table>

Electric | Yes ☐ | No ☐ |
<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>14.</td>
<td>All electrical equipment or instrumentation has been inspected.</td>
<td>☐</td>
</tr>
</tbody>
</table>
15. All non-functioning equipment or equipment without operations manuals has been disposed of.

16. All retained equipment or instrumentation has been housed in a separate location or electrically locked out.

17. All electrical outlets and power sources have been inspected for proper operation.

18. All electrical outlets near water sources are GFCI.

19. All damaged electrical outlets and sources have been repaired.

20. All temporary and flexible wiring, such as power strips and extension cords, have been inspected, and placed in storage or disposed of.

Fume Hoods

21. Fume hoods have been emptied

22. Fume hoods have been inspected for proper air flow.

Other

23. Computers, printers, and peripherals have been disposed of or moved to another location.

24. Sinks, faucets, or other plumbing has been checked for proper operation.

25. Plumbing that was not functioning properly has been repaired.

26. All storage equipment (refrigerators, shelving, hazardous or flammable materials cabinets, etc.) have been inspected.

27. All damaged equipment has been disposed of.

28. All items, with the exception of furniture, have been removed and properly stored or disposed of.

29. All nonpermanent furniture has been removed and properly stored or disposed of.

30. All permanent laboratory furniture has been inspected.

31. Damaged permanent laboratory furniture has been repaired or disposed of.

Notes:

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

Work has been completed:

Compliance Appointee ________________________________ Date _________________

Academic Unit Head ________________________________ Date _________________
Appointment of Part-time and Adjunct Faculty

IIT Faculty Handbook, IV, B. 5.a:

Adjunct and part-time faculty appointments are made on a year-to-year, semester-to-semester, or quarter-to-quarter basis. Such appointments are not permanent and carry no implication of continuing connection with the university. Workload and compensation are determined by the academic unit head and are to be specified in a contract to be entered into between the university and the individual.

The title “part-time faculty” shall be used for instructors who will teach courses on a temporary or short-term basis.

The “adjunct faculty” titles (Adjunct Assistant Professor, Adjunct Associate Professor, and Adjunct Professor) shall be used for part-time academic appointments for individuals who will conduct research and/or teach courses and who will have long-term teaching and service commitments to the academic unit. Adjunct faculty may submit sponsored research and program proposals as principal investigators. An adjunct faculty member may serve as co-adviser for Master of Science or Ph.D. students with a Category I faculty member, but may not as a sole adviser.

Each academic unit will develop a process and criteria for appointment of part-time and adjunct faculty members that is approved by the dean of the academic unit and the provost. Adjunct faculty appointments will be proposed to the academic unit head by a committee of the academic unit composed of Category I faculty members (except emeritus). It is desirable that an adjunct faculty candidate will give a research seminar and be interviewed by faculty members of the academic unit before the academic unit committee makes its recommendation. The committee will review the credentials of the applicant, collect input from faculty members of the academic unit and external references, and may consult with active faculty emeriti and Category II and Category III faculty members during its deliberations.

Part-time faculty appointments will be made by the academic unit head and approved by the academic dean (in colleges with departments). Adjunct faculty appointments will be initiated by the academic unit head. The appointment will be made by the academic dean and approved by the provost. Copies of part-time and adjunct faculty appointment letters will be sent to the Graduate College Office of Academic Affairs. Copies of adjunct faculty appointments will also be sent to Graduate College Office of Sponsored Research and Programs.
HONORARY DEGREE POLICY

Nomination and Selection of Honorary Degree Candidates

Nominations for honorary degrees shall be submitted to the Honorary Degree Committee on the attached form. Any member of the University community may nominate an individual for an honorary degree. Nominations for honorary degrees will be held confidential throughout the process. The Honorary Degree Committee will give due consider to nominations received. The Honorary Degree Committee shall report its recommendations to the President.

Upon the recommendation of the Honorary Degree Committee and approval by the President, the Board of Trustees may vote to confer honorary degrees on distinguished individuals.

Honorary Degree Committee

The Honorary Degree Committee shall be chaired by the Provost of the University and shall consist, in addition to the Provost, of six faculty members, one student representative and one staff representative appointed by the President.

Criteria

In order to recommend an individual for an honorary degree, the Honorary Degree Committee must find that a nominated candidate meets the following criteria:

- Has made significant contributions to cultural, scientific, or social development. Contributions may be in scholarship, creative arts, research, learned professions, public service, public health or business and industry.

- Has a sustained reputation over time in national/international arenas.

- Has a significant likelihood of serving as an inspiration to the University’s students, faculty members and staff.

- Has a reasonably likelihood of interacting with all or a segment of the University community either before or after receiving his or her honorary degree.

In reviewing nominations, the Honorary Degree Committee should seek individuals who are exceptionally worthy but have not already received universal recognition. To that end, the Honorary Degree Committee should exercise its review cognizant of the fact that honorary degrees are intended to reflect the mission and ideals of the University and represent the highest academic award bestowed by the University.

Special consideration should be given to recognizing the achievements of women and minorities, consonant with the equal opportunity goals of the University.
Other considerations

A member of the University’s Board of Trustees may be awarded an honorary degree, provided the Trustee has served as a member of the Board for a significant period of time.

Only under extraordinary circumstances should an honorary degree be awarded to an active member of the University faculty, administration or staff.
Honorary Degree Nomination Form

Nominations must be made confidentially, i.e., without informing the nominee.

Please review Nomination Criteria before proceeding; then complete all sections below.

About the Nominator

Name:

University affiliation (faculty, staff, student, alumnus/a, trustee):

Work Address:

E-mail:

Phone:

Best way to contact you if needed:

About the Nominee

Name:

Professional Affiliation:

Address:

E-mail:

Phone:

Has the nominee had an affiliation with IIT? If so, please specify:

Rationale for nomination (50-100 words):

Supporting materials (please fill out below or provide links to nominee’s Website, CV, etc.)

Professional biography:

List of honors or awards received:

List of publications:

Other summaries describing accomplishments (e.g., volunteer or humanitarian activities; service on industrial/academic boards; other endeavors)

Return Completed Form and Supporting Documents to:

Via Email: hardiman@iit.edu
Via Fax: 312.567.7018
Via Mail: Office of the Provost
Illinois Institute of Technology
10 W. 35th Street, Suite 1900
Chicago, IL 60616

If you have any questions, please contact Stacy Hardiman at 312-567-3164 or via email at hardiman@iit.edu.
Joint Degree Programs

A joint degree program (the “Program”) is defined as a degree program involving two or more academic units. Irrespective of the origin, i.e. from discussions among faculty or initiated by administration, the Program must be presented to and approved by the full faculty of each of the academic units involved.

The final course lists, program degree titles, program administrative structure, allocations of resources and revenue sharing by involved academic units must be approved by the each of the deans of the colleges participating in the Program.

Each involved academic unit will appoint one or two faculty members to a committee (the “Committee”) to oversee the Program. Each involved academic unit will have one vote on the Committee. Heads of the involved academic units and members of the Committee will present the Program to the Graduate Studies Committee and then to the University Faculty Council for approval. After UFC approval, the program will be submitted for approval according to the process described in Appendix P of the Faculty Handbook.

Students will be admitted to a Program through Graduate Admissions with the understanding that one or more members of the Committee will serve as temporary advisors for admitted students.

The Committee, in consultation with the academic unit heads, may initiate new courses and assign instructors for such courses.

Members of the Committee shall nominate, and the provost shall appoint, a chair for the Committee who will also act as director of the Program.

The responsibility for Program administration rests with the academic units involved. This includes replacing Committee members when required. Withdrawal by an academic unit from a joint program requires approval from the academic unit head, dean and provost.

The degree will be granted by one of the academic units involved if there is consensus among them. Otherwise, the degree will be granted by the Graduate College.
RESEARCH ASSOCIATE AND SENIOR RESEARCH ASSOCIATE APPOINTMENT RESPONSIBILITIES AND PROCEDURES

No Research Associate or Senior Research Associate may begin to work until all of the following processes have been completed.

Responsibilities and Activities of the Faculty Member Intending to Hire a Research Associate or Senior Research Associate

1. A faculty member (the Faculty Member) who wishes to hire a Research Associate or Senior research Associate (RA/SRA) should send a request for the appointment to his or her Academic Unit Head (AU Head).

2. All new positions must be posted and/or advertised. The Academic Unit will manage the process following procedures provided by Human Resources (HR). If advertisements require payment, the hiring Faculty Member must provide a source of funding. The position should be posted for a minimum of five work days before an appointment can be made.

3. A copy of the posting for the position approved by the AU Head should be sent to the Graduate College prior to placement of the posting.

4. A “request for appointment” memo (the Memo) should be written to the AU Head when the candidate for the position (the Candidate) is selected by the Faculty Member. The Memo must state the name of the Candidate as it appears on official documents (this is critical for international candidates), name of the research project, name of supervising professor(s), the dates of appointment (must be specific calendar dates), and the IIT FOAP number(s) that will fund the position.

5. Appointments may be made for a period up to one calendar year. Reappointments can be made after the initial end date.

6. The initial appointment can be made only for the period that funding is available (maximum one year). For subsequent years, reappointment of the RA/SRA can be made for up to one year. However, salary is based upon availability of funds, and if funding is no longer available, the RA/SRA will be given a one month notice of termination. Salary is the responsibility of the Faculty Member and then of the academic unit that approved the hire. In case of nonpayment from the FOAP listed in the appointment or reappointment request, the Faculty Member and the academic unit will be responsible for payment for any time worked by the RA/SRA.

7. If the RA/SRA is working at IIT on an H-1 visa and his or her appointment is terminated by IIT before its end date, IIT is required to provide the cost of a plane...
ticket home. The expense for this travel arrangement is the responsibility of the Faculty Member and the academic unit that approved the hire.

8. A Curriculum Vitae (CV) of the Candidate, which includes his or her email address and academic degrees, must be included with the Memo.

9. Research Associates must have at least a Master’s degree and Senior Research Associates must have a Ph.D. A copy of the diploma of the Candidate must be attached with the Memo to the AU Head.

10. The Faculty Member must notify the Candidate that his/her email address is necessary for conducting a background check and that the Candidate should look for an email from the Assistant to the Dean of the Graduate College, with a request from the service that performs background checks for IIT.

11. If the Candidate has a social security number, a payroll authorization (PA) must also accompany the CV and Memo to the AU Head.

Responsibilities and Activities of the Academic Unit

1. After the AU Head receives the package from the Faculty Member, he or she should write a memo to the Dean of the Graduate College. This memo should be similar to the Memo from the Faculty Member. The entire package (2 memos, CV and PA) should be sent to the budget administrator of the College or School with which the Faculty Member is affiliated. PA must be signed by the PI requesting appointment.

2. The budget administrator and the Dean of the College, if the Dean is not also the AUH, should approve the memo to the Dean of the Graduate College, sign the PA and forward the package to the Assistant to the Dean of the Graduate College.

Responsibilities and Activities of the Graduate College

1. The Graduate College will determine the completeness of the package and check that the Candidate has the required degree.

2. If the RA/SRA will receive a stipend from a grant, the Assistant to the Dean of the Graduate College will send an email to Grant and Contract Accounting (GCA) for confirmation of availability of funding for the position for the period listed. If the grant cannot provide the support for the term listed, GCA will state the actions that need to be taken, such as an extension on the grant period or use of another FOAP. If these changes cannot be made by the Faculty Member, the appointment must be revised. Graduate College will hold the appointment until a decision is about funding source is made or will send the application back to the academic unit.
3. If the FOAP is acceptable the process will move forward.

4. If the stipend is being funded from a 100000 or 200000 fund, the signature of the budget administrator of the College or School of the Faculty Member on the PA is sufficient to move the process to the next step.

5. If the appointment is new, a background check must be initiated.

6. The Faculty Member should alert the Candidate that a background check will be run and that he or she should look for an email from the Assistant to the Dean of the Graduate College, which is actually an email from the background service provider. The Candidate must respond to the email to begin the background check procedure. There may be follow-up emails as the background check progresses, possibly requesting additional information. The Faculty Member should urge the RA/SRA to respond to all such emails. Failure to do so may cause a delay or even cancellation of the background check. The Faculty Member should also inform the Candidate that the Graduate College is not conducting the background check and that if the Candidate has any questions he or she must contact the background check provider directly.

7. Once the completed background check is received, the Assistant to the Dean of the Graduate College will prepare the appointment letter and enter the information in the Research Associate/Senior Research Associate Database.

8. The appointment letter will state that continuation of the appointment is contingent upon continued funding and satisfactory performance.

9. The Dean of the Graduate College will sign the appointment letter.

10. The original letter will be sent to the Candidate.

11. Copies of the letter are sent to the Faculty Member, the Academic Unit office, the Academic Dean’s office if different from the Academic Unit Office, Grant and Contract Accounting, the Payroll office, Human Resources, and the Provost’s office. A copy is retained in the Graduate College along with all memos and copies of the CV and PA(s). Original CV and PA(s) are either forwarded to Grant and Contract Accounting or Human Resources, depending on the funding.

12. The Candidate will be directed to either the International Center to complete the I-9 form (H-1b or J-1 visa), or HR (other non-resident aliens or domestic). Once HR receives an appointment letter for a new Research Associate/Senior Research Associate, HR will contact the new employee to schedule benefits orientation. If a benefits orientation has not been scheduled at the time the Research Associate/Senior Research Associate has arrived, they must contact HR at 312.567.3318.
NOTE: The International Center does not receive a copy of the appointment letter. The Faculty Member who is making the hire must contact the International Center and inform them that an international appointment has been made. The Faculty Member should consult International Center about verifying the Candidate’s employment eligibility.

NO CANDIDATE MAY BEGIN WORKING BEFORE THE BACKGROUND CHECK AND I-9 FORMS HAVE BEEN COMPLETED AND THE PA HAS BEEN SUBMITTED

REVISED APPOINTMENTS:

If there is a need to revise an existing appointment caused by change of dates, change in salary or funding, or for any other reason, a revision must be completed. A Faculty Member would follow the procedure described above, except that the CV, background check and I-9 are not required.

REAPPOINTMENT LETTERS:

If a Faculty Member intends to reappoint an RA/SRA, the above steps must be followed with the exception of the CV, background check and I-9, noting that reappointment of the RA/SRA can be made for up to one year. Again, salary is based upon availability of funds and satisfactory performance, and the RA/SRA will be given one month notice of termination of salary if funding is not available or performance is not satisfactory. The Faculty Member must inform, in writing, HR, the Office of the Dean of his or her School or College, and the Graduate College, no later than 45 days before this termination date to enable HR to carry out the proper procedure to terminate the appointment. If there are any delays in this process resulting from the actions of the Faculty Member that necessitate payment to the RA/SRA after the end of the funding FOAP, the Faculty Member and the academic unit that approved the hire will be responsible for making these payments.

If you have any questions regarding the appointment process contact the Assistant to the Dean in the Graduate College at 567-3097.
Visiting Researcher
Appointment Responsibilities and Procedures

No Visiting Researcher may begin to work until all of the following processes have been completed.

Responsibilities and Activities of the Faculty Member Intending to Host a Visiting Researcher

1. A faculty member (the Faculty Member) who wishes to host a Visiting Researcher should send a request for the appointment to his or her Academic Unit Head (AU Head). A “request for appointment” memo (the Memo) should be written to the AU Head by the Faculty Member. The Memo must state the name of the Candidate as it appears on official documents (this is critical for international candidates), name of the research project, name of supervising professor(s), and the dates of appointment (must be specific calendar dates).

2. Appointments may be made for a period up to one calendar year. Reappointments can be made after the initial end date.

3. A Curriculum Vitae (CV) of the Candidate, which includes his or her email address and academic degrees, must be included with the Memo.

4. Visiting Researchers must have at least a Master’s degree. A copy of the diploma of the Candidate must be attached with the Memo to the AU Head.

Responsibilities and Activities of the Academic Unit

1. After the AU Head receives the package from the Faculty Member, he or she should write a memo to the Dean of the Graduate College. This memo should be similar to the Memo from the Faculty Member. The entire package (2 memos and CV) should be sent to the budget administrator of the College or School with which the Faculty Member is affiliated.

2. The budget administrator and the Dean of the College, if the Dean is not also the AUH, should approve the memo to the Dean of the Graduate College and forward the package to the Assistant to the Dean of the Graduate College.

Responsibilities and Activities of the Graduate College

1. The Graduate College will determine the completeness of the package and check that the Candidate has the required degree.

2. The Assistant to the Dean of the Graduate College will prepare the appointment letter and enter the information in the Visiting Researcher Database.

3. The Dean of the Graduate College will sign the appointment letter.
4. The original letter will be sent to the Candidate.

5. Copies of the letter are sent to the Faculty Member, the Academic Unit office, the Academic Dean's office if different from the Academic Unit Office, Human Resources, and the Provost's office. A copy is retained in the Graduate College along with all memos and copies of the CV. Original CV is forwarded to Human Resources.

6. The Candidate will be directed to HR to receive an ID card and email address.

NOTE: The International Center does not receive a copy of the appointment letter. The Faculty Member who is making the hire must contact the International Center and inform them that an international appointment has been made.

REVISED APPOINTMENTS:

If there is a need to revise an existing appointment caused by change of dates or for any other reason, a revision must be completed. A Faculty Member would follow the procedure described above, except that the CV is not required.

REAPPOINTMENT LETTERS:

If a Faculty Member intends to reappoint a Visiting Researcher, the above steps must be followed with the exception of the CV noting that reappointment can be made for up to one year.

If you have any questions regarding the appointment process contact the Assistant to the Dean in the Graduate College at 567-3097.
INTERDISCIPLINARY DEGREE POLICY

General Description

The procedures set forth in this Policy shall apply to any approved degree program that is an inter-disciplinary degree program combining coursework from two or more academic units (a “Program”).

Degree Awarded

In general, such Programs will result in the awarding of a master’s degree by Illinois Institute of Technology, and not by a particular department, college, school or institute.

Program Governance

Any such Program shall be administered by an inter-disciplinary committee (the “Committee”). The Committee will consist of at least three members, or one member from each academic unit participating in the Program, whichever is greater. Appointments to the Committee will be made by the Provost after consultation with the head of each unit participating in the Program. The Committee shall have oversight over the Program to the same extent that an academic unit exercises over a program wholly within that unit. The Committee shall oversee the Program consistent with its approved curriculum. Although the Committee will work to achieve consensus, decisions of the Committee will be made by majority vote. The Provost shall have final authority with respect to ratification of the Committee’s decisions.

A Program director (the “Director”) shall be appointed to manage the day-to-day operations of the Program. The Program Director should be a current member of the IIT faculty or staff. The Committee shall make its recommendation regarding a Director to the Provost. To the extent practicable, the Director should have relevant knowledge across as broad an array as possible of areas covered by the Program. Formal appointment of the Director will be made by the Provost.
I. Purpose.

The policy will apply in instances where an IIT faculty member is seeking or has been offered an appointment at another non-for-profit college or university, a not-for-profit hospital or a federally-funded or not-for-profit research laboratory (each, an “External Entity”) that he or she will hold while continuing as a member of the IIT faculty.

II. Approval.

Any such joint appointment must be approved by the faculty member’s dean and the Provost. The dean must determine that the joint appointment will not unreasonably interfere with the faculty member’s IIT teaching and research obligations.

III. Written Agreement Required.

Prior to a joint appointment being finalized, a written agreement that is consistent with the guidelines below must in place between IIT and the External Entity. The written agreement must provide for payments from the External Entity to IIT in an amount equal to the faculty member’s aggregate salary and benefits multiplied by the percentage of time and effort that he or she will be dedicating to the External Entity. In addition, the written agreement must reflect and be consistent with each of the following:

1. The faculty member will be an IIT employee only. IIT will issue the full paycheck for that faculty member and will provide him or her with benefits, with the External Entity reimbursing IIT for its pro rata share of these amounts as provided for herein.

2. The evaluation of the faculty member for all purposes including, without limitation, tenure, will be undertaken solely by IIT consistent with IIT policies.

3. If the agreement with the External Entity is terminated, the faculty member will again become a full-time IIT employee.

4. The faculty member may submit proposals as a Principal Investigator for IIT and for the External Entity; however, unless specifically allowed by the funding agency, the faculty member may not be a PI for both IIT and the External Entity in connection with the same grant. The faculty member may be a PI for one of the institutions and a Co-PI for the other institution.

5. Any work involving both IIT and the External Entity on the same grant must be done pursuant to a written subcontract between the two institutions. If the faculty member uses IIT facilities and/or personnel while providing
services to the External Entity, it must be done pursuant to an appropriate written agreement.

6. The faculty member’s time and effort reporting must not exceed 100% from all sources combined and must be accounted for consistent with applicable federal rules and regulations.

7. The faculty member may not hold an appointment that is tenured or tenure-track at the External Entity, but he or she may hold an appointment that is visiting, adjunct, research or at a similar rank.

8. The written agreement must contain provisions that allocate risk and liability between the two institutions, ensure the confidentiality of the institutions’ proprietary information and provide for the ownership of any intellectual property developed by the faculty member.

9. The written agreement should not be for a term of more than three years, although it may be subject to renewal after evaluation by the institutions.
**FACULTY SEARCH PROCEDURES**

IIT’s Diversity Statement reads as follows:

Illinois Institute of Technology is a community that values and respects its members. We appreciate that our faculty, staff, students, alumni/ae, and trustees come from many backgrounds and many parts of the world. We embrace the contributions that differences offer. We are committed to providing a working and learning environment in which all students and all members of the faculty and staff are able to realize their full potential.

The Faculty Handbook contains the following policy statement:

IIT is an Equal Opportunity/Affirmative Action employer. Candidates for promotions and new faculty positions are evaluated by the established academic criteria, and in compliance with federal, state and local requirements. IIT is firmly committed to its affirmative action goals as set forth in its affirmative action plan, which is available in the General Counsel’s Office. Without sacrificing academic standards, IIT is mindful of those goals in hiring new faculty. A candidate’s membership in a group that is underrepresented on IIT’s faculty is one of the factors that shall be considered in hiring decisions. Candidates for promotion and/or tenure are evaluated by established academic criteria and in full compliance with all nondiscrimination laws and regulations.

A diverse applicant pool is required when filling faculty positions. The Search Committee should identify clear selection criteria and define a search plan prior to commencing the actual search. The plan should include not only the type and content of advertisements, but also the channels to be used to identify potential applicants. The search is an active rather than a passive process and multiple means should be used to identify potential candidates.

Once a position has been approved, a position advertisement should be created. The advertisement should be clear as to the requirements of the position and time frame for submission. If there is no deadline, the advertisement should state that review of submissions will continue until the job is filled. Additionally, language stating that “Illinois Institute of Technology is an EEO/AA/Title VI/Title IX/Section 504/ADA/ADEA employer committed to enhancing equity, inclusion and diversity within its community. It actively seeks applications from all individuals regardless of race, color, sex, marital status, religion, creed, national origin, disability, age, military or veteran status, sexual orientation, and/or gender identity and expression. All qualified applicants will receive equal consideration for employment” must be included on each advertisement. All ads must be submitted to the Director of Equal Opportunity and Affirmative Action in the Office of General Counsel for review.

The positions should be posted on websites and listservs and in periodicals that advance the interests of women and minorities, such as Diverse Issues in Higher Education (http://diverseeducation.com); and Academic Diversity Search, Inc. (http://www.academicediversitysearch.com). They can also be listed with professional organizations which provide career resources/job banks to their members such as the American Psychological Association (https://www.apa.org) and the National Society of
Black Engineers (www.nsbe.org). Communicating open positions at conferences and with colleagues at other universities and organizations is another means of identifying potential candidates.

Additionally, IIT is a member of the Higher Education Recruitment Consortium (https://member.hercjobs.org/home) and has a subscription to the National Registry of Diverse and Strategic Faculty (https://www.theregistry.ttu.edu). Faculty positions may be advertised at both of these sites by contacting the General Counsel’s Office. In formulating a search plan, emphasis should be placed on utilizing a broad range of recruitment sources and networks.

Although the entire Committee is responsible for the search, it is recommended that one Committee member take responsibility to insure outreach to women and minority candidates and document the Committee’s efforts in this regard.

**APPLICANT TRACKING**

Applicant tracking is a critical component of the search process. The name of every applicant and the action taken in regard to his or her application must be recorded. (Attachment A) An applicant is a person who requests to be considered for a specific advertised position, submits application materials, and meets minimum required qualifications as stated in the position advertisement.

It is important to request that every applicant complete a Voluntary EEO Survey Form. This request should be made when acknowledging receipt of the applicant’s submission. Applicants should be encouraged to complete the on-line version of the survey; however, a supply of hard copies with return envelopes is also available from the Director of Equal Opportunity and Affirmative Action. The on-line survey may be found at the following address: https://web.iit.edu/general-counsel/eeo-survey

This survey, if returned, provides equal opportunity data. It will be returned directly to the Director of Equal Opportunity and Affirmative Action and the information will be used only to track the diversity of the applicant pool for the position.

If an applicant meets minimum required qualifications but will not be selected for an interview, the applicant should receive a letter from the Committee expressing gratitude for his or her interest and stating that the application will not move further in the process. It is recommended that a position remain open for no longer than two years. If after this time period there continues to be a need to fill the vacancy, the Committee should close the initial search and begin a new one.

Records for each position including advertisements, submissions, applicant tracking log, and notes, must be maintained for three years.

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1 For a detailed list of professional organizations focused on advancing the interests of women and minorities and other diversity resources, refer to Case Western University’s Office of Inclusion, Diversity and Equal Opportunity website (https://case.edu/diversity/office-for-faculty-diversity/faculty-search-process/tool-kit-for-equitable-searches).
## APPLICANT LOG

**Position:**  
__________________________

**Department:**  
__________________________

**Search Start Date:**  
__________________________

**Search End Date:**  
__________________________

<table>
<thead>
<tr>
<th>Number</th>
<th>Name</th>
<th>Application Materials Rec'd Yes/No Date</th>
<th>Minimum Qualifications Yes/No</th>
<th>EEO Data Requested Yes/No Date</th>
<th>Interviewed Yes/No Date</th>
<th>Offer Extended Yes/No</th>
<th>Offer Accepted Yes/No</th>
<th>Date Hired</th>
</tr>
</thead>
</table>
I. **Purpose**

The purpose of this policy is to provide guidelines for the establishment and administration of endowed chairs. An endowed chair is a faculty position, with or without perquisites, staff or administrative assistance, supported by income from an endowment fund established by a gift or gifts from sources external to the University. The University creates endowed chairs to recognize the interests and contributions of benefactors. It awards endowed chairs in order to retain, recruit and reward faculty members who have demonstrated excellence in research, teaching and professional contributions at a level that brings external recognition to the University.

II. **Establishment of Endowed Chairs**

A. The decision to undertake the fundraising for and the terms for establishing an endowed chair will be made by the President, after consultation with the Board of Trustees, the Provost, and other relevant university administrators, and should only be made if doing so is consistent with the goals of the University. The purpose of an endowed chair should be specified in writing, as part of an endowment agreement, at the time the chair is established.

B. An endowed chair will be considered established upon execution of an endowment agreement and acceptance of (i) cash, or a binding pledge that within a prescribed period of time a fund will be created to provide sufficient income to meet the purposes of the endowed chair, or (ii) a binding commitment to provide income from an equivalent fund held inviolate by a trustee. A donor may give funds to be invested until these resources are sufficient to meet the purposes of the endowment agreement. For purposes of this policy, all such cash, income, funds and resources are collectively referred to as the “chair endowment”. During any such investment period, funds may be added to the chair endowment, but the income may not be withdrawn for other uses except with explicit directive of the donor. The endowed chair will not be filled until sufficient funds are available to meet the purposes of the endowment agreement, which, as a general matter, means the chair endowment is two-thirds funded through donor contributions.

C. The chair endowment will be held and administered by the University in accordance with applicable policies. For purposes of this policy, the income earned on the chair endowment will be considered “usable income”. Subject to the terms of the endowment agreement and Section III.E below, the usable income may provide for the base salary, fringe benefits, office space, clerical assistance, supplies, equipment, travel, computer use, library support or other suitable purposes. Expenses
incurred in the management of the chair endowment will be covered by the usable income. The University will not commit particular resources to any chair endowment, except as specifically set forth in the endowment agreement.

III. Appointment of an Endowed Chair

A. Endowed chairs are intended for category 1 faculty, though, in special circumstances, may be awarded to category 2 faculty, who are scholars and teachers distinguished by wide recognition of their professional accomplishments. A chair may be used to honor a distinguished tenured or tenure track faculty member or to attract a new tenured or tenure track faculty member to the University. If a qualified, viable candidate is not available, it is not necessary to make an appointment. In exceptional circumstances, an endowed chair may be awarded to a category 2 faculty member; however, this appointment must be for a specified time (a temporary appointment) and is not renewable.

B. The holder of an endowed chair shall be designated as the (benefactor) Professor of (field) and will be so designated in official correspondence and University publications.

C. Subject to the terms of the endowment agreement, an endowed chair may be designated for (i) a probationary appointment, (ii) a tenured appointment, (iii) a temporary appointment for a specified period of time or (iv) a series of temporary appointments. Appointments may be made on a semester, academic-year, or twelve-month basis. The Provost will recommend to the President the length of appointment for each endowed chair, and the President, in his or her discretion, will establish the designated length of each such appointment. As a general matter, the University will strive to provide five-year appointments for endowed chairs. The holder of an endowed chair will occupy the chair for the period so specified.

D. The process for appointing an individual to an endowed chair will be as follows: The dean, in consultation with the department chair, if appropriate, will recommend to the Provost the appointment of a faculty member to an endowed chair. The Provost, after consultation with the dean and any other University administrators or faculty that he or she deems appropriate, will make a recommendation to the President. The President, in his or her discretion, will decide whether to recommend the appointment to the Academic Affairs Committee of the Board of Trustees. Upon the recommendation of the Academic Affairs Committee, and approval of the Board of Trustees, the President will send a letter to the faculty member setting forth the length and terms of the appointment. The faculty member, upon the expiration of his or her appointment, may be
reappointed to the endowed chair at the discretion of the President after consultation with the Provost, as appropriate.

E. Contingent upon availability, an endowed chair holder will be allocated an annual discretionary “allowance” from the usable income. The amount of the allowance will be set forth in the President’s letter of appointment. Endowed chair allowances are to be used for professional expenses and expended in accordance with all pertinent University policies and procedures. In addition, the following restrictions shall apply:

1. The holder of an endowed chair may annually fund a maximum of the equivalent of one month of summer salary per year for himself or herself from the allowance.

2. Use of the allowance to pay salary support for graduate students is encouraged, but such funds cannot be used to pay salary to other faculty members.

3. Any unused allowance, up to the equivalent of one year’s allowance, may be carried over from year to year during the term of the appointment, and an endowed chair holder may spend any remaining allocated funds for one year after the end of his or her appointed term, after which time any such funds shall revert back to the chair endowment. Carry over of amounts in excess of one year’s allowance can occur only if approved by the Provost based on a plan to expend the excess carry over in the following year.

IV. Obligation of Holders of Endowed Chairs

For each year of the term, a holder of an endowed chair is required to submit to the President, Provost, Director of the Office of Donor Relations and his or her dean a brief narrative report summarizing: (i) his or her main professional accomplishments, (ii) graduate students advised and graduated and senior research associates and research associates mentored, (iii) goals for the next year, and (iv) an accounting of expenditures from the allowance. The report is due by August 31 of each year.

V. Periods When an Endowed Chair is Not Occupied

During any period in which an endowed chair is not occupied, the usable income from the chair endowment may be used for any purpose authorized by and consistent with the endowment agreement, provided such use is approved by the Provost.

VI. Disestablishment of an Endowed Chair

A. The establishment of an endowed chair is contingent on completion of the funding level specified in the endowment agreement. A chair endowment that
has not reached full funding either by the end of the specified pledge period or the maturity of the deferred gift or bequest shall be reviewed. Such a review will include any alternative uses for the payout prescribed by the endowment agreement and/or through discussions with the donor. If appropriate, the President may propose the disestablishment of the chair and an alternate use of the chair endowment funds.

B. Subject to the terms of the endowment agreement and/or with the donor’s approval, the President is authorized to disestablish an endowed chair in the event that (i) the subject area ceases to be consistent with the University’s goals or the academic plan of the campus, or (ii) the endowed chair remains vacant for a period of three years and the President, after consultation with the Provost and the relevant dean and chair, determines there is little likelihood of filling the chair.

C. Upon disestablishment of an endowed chair funded through a gift, the payout of the chair endowment’s funds shall be reallocated to the alternative purpose stated in the gift instrument or as subsequently specified by the donor. If a donor is deceased and has not specified an alternative purpose, the President shall seek legal counsel for an alternative use of such fund payout in a related field.
Purpose
Proposals submitted for extramural funding (research, training, and similar such activities) must include an eligible individual to serve as Principal Investigator (PI). Illinois Tech is legally bound to ensure that projects comply with all federal regulations and sponsor requirements of projects, and the PI plays an essential role in achieving such compliance. All project personnel are required to participate in the project in a significant and meaningful way.

Policy
The PI is responsible for the scientific and administrative conduct of all aspects of the project as well as accurate and timely reporting, including, but not limited to, effort reporting, technical reports, patent reports, and such other matters. All PIs must have an institutional base salary as stated on the appointment letter. PI eligibility is explicitly defined below.

Definitions
N/A

Procedures
Illinois Tech recognizes the following members of the academic community as eligible to serve as PI:

1. Faculty members holding the following titles:
   - Assistant Professor, Associate Professor, Professor;
   - Emeriti (provided that they have an appointment with an institutional base salary and have a tenured or tenure track faculty member as co-PI);
   - Clinical Assistant Professor, Clinical Associate Professor, Clinical Professor;
   - Studio Assistant Professor, Studio Associate Professor, Studio Professor;
   - Lecturer, Senior Lecturer, Instructor, Senior Instructor;
   - Legal Writing Professor;
   - Industry Associate Professor, Industry Professor;
   - Research Assistant Professor, Research Associate Professor, Research Professor;
   - Distinguished Research Professor; and
   - University Professor.

2. Other faculty members, with approval from the Dean and the Vice Provost for Research, prior to the preparation of the proposal.

3. Administrative staff carrying the title of Vice President/Provost, and

Other administrative staff, provided that they have the required expertise to lead the project and with approval from the staff’s Vice President/Provost and the Vice Provost for Research.
Other Senior/Key Personnel. Co-PIs and other senior personnel on proposals for extramurally funded projects can come from categories 1–3 above without the need for approval. Those coming from item 4 above still require approval. For the avoidance of doubt, any individual working on a funded project must have an institutional base salary at the time of proposal submission.

Individuals who are ineligible to be a PI or co-PI are listed below.

- “Courtesy” appointments (Appointments issued to non-employees of Illinois Tech for non-employment reasons and, therefore, do not include a base salary).
- Adjunct faculty, who are paid on a per course/task basis, are also ineligible to be PIs, but may participate in a proposal provided if it does not conflict with their adjunct appointment and duties, with prior approval from the Department Chair; provided, however, a base salary for the services to be rendered must also be established prior to proposal submission.
- Visiting faculty, Research Associate, and Senior Research Associate, unless the stated purpose of the project is solely to advance their career growth, or if specifically allowed by the sponsor in the solicitation, and, in either case, a base salary for the services to be rendered is established prior to proposal submission.
- Graduate students, unless the stated purpose of the project is solely to support the student’s education, or as specifically allowed by the sponsor in the solicitation.

Guidelines
N/A

References
IV. Conditions of Academic Appointment

Responsibilities
All IIT employees who submit proposals for extramural funding.

Recommended Forms
N/A
Political Activity on Campus

As a tax-exempt entity, IIT is legally prohibited from directly or indirectly participating or intervening in any campaign on behalf of or in opposition to any candidate for elective office and has an affirmative obligation to refrain from engaging in any partisan political activity. Violation of these prohibitions against such activities could jeopardize the university's tax-exempt status.

While individuals are free to express their opinions and to support political candidates on their own, it must be clear that the individual is acting on his or her own behalf and not on behalf of IIT. To this end, an individual should not identify himself or herself as an employee of IIT, and if he or she is identified as such, he or she should, prior to any speech or as part of any writing, indicate that his or her comments are personal and not intended to represent the views of IIT. Further, no individual or event may use the name, symbols or resources of the university to participate or intervene in any political campaign on behalf of or in opposition to any candidate for political office.

Specific examples of impermissible activities include, but are not limited to (i) using university letterhead, campus mail, telephones or IIT email accounts to solicit support or contributions for a candidate; (ii) using university funds to purchase tickets for a candidate's fund-raiser; and (iii) putting campaign posters on university property.

Political candidates may use or rent IIT facilities only if all candidates are allowed the opportunity to use or rent such facilities on equal terms and conditions.

Subject to certain conditions and restrictions, political candidates may be invited to speak at events without jeopardizing IIT's tax exempt status; however, no such invitation should be extended without the extending party first discussing the invitation with the General Counsel's Office, so as to ensure that the invitation complies with applicable laws.

Certain voter education activities, including voter registration and get-out-the-vote drives, are permissible but only if they are undertaken in accordance with applicable rules and regulations and are conducted in a non-partisan manner. Again, before any such activities are undertaken, the initiating party should contact the General Counsel's Office.
1. **Policy Statement**
   The University supports a procurement environment that recognizes that departments have special expertise and are often in the best position to determine what they need to run their programs. Policies and procedures are provided to facilitate the procurement of goods and services needed to run programs in a timely, efficient, and cost effective manner, and all procurement shall be made in accordance with these policies and procedures.

   It is essential to obtain prior approval to bind the University in any agreement and to obtain prior approval to make any payment. All purchases must be charged against the correct Fund, Organization, Account and Program (the FOAP), and must be compliant with related sponsor contracts. A centralized eProcurement system and a center-led procurement strategy are used to leverage purchases for best pricing and to maintain an inventory of all purchases. Agreements must be entered into consistent with the [Authority for Negotiation and Approval of Contracts](#) policy.

2. **Who is Affected by this Policy**
   All University employees, including faculty, staff members, researchers, graduate and undergraduate students, and any personnel responsible for the acquisition of goods and services for the University, unless otherwise exempted in accordance with this Policy.

3. **Roles and Responsibilities**
   The University considers the prudent expenditure of funds to be a substantial responsibility and requires all individuals having such authority to exercise good judgment in authorizing purchases regardless of the source of the funds. As considerable authority is delegated to academic and administrative units to make purchasing decisions, this requires that all persons involved at every step of the process take full responsibility for understanding University policies and procedures regarding purchasing, payment and vendor relationship management. Purchasing decisions are business decisions made on behalf of the University and therefore should be made with the utmost consideration for the best interest of the University.

   a. **Departmental Purchase Requester / Initiator:** It is the responsibility of the departmental purchase requester/initiator of a Requisition and P-Card purchases to be certain that the items/services and quantities requested are reasonable and that funds required are presently available. The requester/initiator must clearly and accurately describe the items to be procured and may suggest a source from which they may be purchased.
b. **Departmental Budget Manager / Approver:** The individual responsible for budgetary management, in approving the Requisition and P-Card purchases, indicates that he/she assumes responsibility for the expenditure of funds used for the purchase, and that he/she believes the items requested to be necessary and appropriate. Only persons responsible for budgetary accounts can approve Requisitions and P-Card purchases.

c. **Procurement Services:** The Director of Procurement Services, or a designee, is the only person authorized to convert requisitions to purchase orders and dispatching to vendors for fulfillment. Procurement Services has the ultimate authority for the selection or approval of the source from which items and services are to be purchased, while respecting the judgement of the departmental purchase requester/initiator. It is also Procurement Services’ responsibility to set and maintain the University’s Procurement Policy and its associated procedures, negotiate University-wide procurement contracts, establish and maintain Preferred Supplier lists and purchasing programs, and provide guidance on the use of appropriate procurement methods and contract vendors.

It is the responsibility of all individuals involved with the procure-to-pay process to ensure:

- Compliance with this Procurement Policy and any related government, sponsor, and other applicable University policies, procedures, guidelines and/or business requirements;
- Best effort utilization of University-wide preferred and contract vendors;
- Utilization of appropriate University purchasing and payment methods for procuring goods and/or services; and
- Satisfactory completion of all required procurement forms to support the purchase, as appropriate.

4. **Supplier Categories**

There are numerous considerations when selecting a supplier when goods or services need to be purchased for the University, including but not limited to cost, timeframe, quality, relationship with the University and the like. The University has identified the following supplier categories that take these considerations into account:

a. **Illinois Tech / University Preferred Suppliers:** This designation indicates that the University has competitively solicited and negotiated competitive commercial pricing and established legal terms and conditions with the qualified suppliers. Procurement Services is the only University entity able to authorize and designate a supplier as a University Preferred Supplier.

Departments do not need to obtain quotes or bids for spend between $10,000 and $250,000 if a University Preferred Supplier is used.

The use of Preferred Suppliers are strongly encouraged as they carry many benefits, including competitive pricing due to leveraging the whole University’s volume, ease of ordering, improved access to information, and a higher level of service resulting from the strong commitment the supplier has to the University. Using a Preferred Supplier also improves productivity and efficiency of departmental resources by reducing the time used to source quotes/bids and
negotiate contractual terms as the work has already been done by Procurement Services.

Procurement Services will maintain a list of Preferred Suppliers on the Procurement Services website as they are established through the strategic sourcing initiative.

b. **Qualified Suppliers**: A supplier must be deemed a qualified supplier during the bid/evaluation and selection process to be eligible to receive a University contract or purchase order. Qualified means the supplier, whether a company or an individual, has appropriate legal authority to do business, a satisfactory record of integrity, appropriate financial, organizational and operational capacity and controls, and acceptable performance on previous contracts, if any.

Examples of non-qualified suppliers include, but are not limited to, suppliers with a history of non-performance or performance issues on other contracts, record of financial difficulty, business instability, criminal/civils sanctions, tax delinquency, and/or suppliers who are federally suspended or debarred.

**Diverse/Disadvantaged Suppliers**: As a recipient of federal funds and supporter of local communities, the University seeks to utilize small/diverse/disadvantaged and local business enterprises as appropriate. Awards from government or other sponsoring agencies may also mandate participation goals. Diversity, social responsibility and environmental sustainability are also central to the University’s mission, and the University aims to provide business opportunities to suppliers who share these values. Departments should make information on forthcoming opportunities available to small/diverse/disadvantaged and local vendors, as well as encourage and facilitate their participation in these opportunities.

5. **Procurement Thresholds and Bidding Requirements**

Competition between suppliers is one of the most effective ways to ensure that a product or service is secured at the most favorable price and terms. Competitive quoting and bidding **is required** for products or services with an aggregate total value of $10,000 or more over the same fiscal year with the same vendor, unless an Illinois Tech / University Preferred Supplier is utilized.

The University requires competitive bidding in order to appropriately safeguard its assets. Further, as a condition for receiving federal funding for research, the University must be compliant with Federal Acquisition Regulations (FAR) and The Office of Management and Budget’s Uniform Guidance. These regulations mandate competitive bidding and require that the University take affirmative steps to ensure diverse and disadvantaged businesses are given an opportunity to compete for the University’s business and are used. When audited, the University must certify that its policies are in compliance for all transactions - not just those that are federally funded. In limited circumstances, competitive bids are deemed not appropriate, and the requirement for obtaining them may be waived. These circumstances are outlined in the Sole Source Procurement section below.

The following minimum quoting and bidding requirements have been established to
promote competitive bidding as well as comply with various applicable laws, rules and regulations. Quotes or bids should be solicited whenever the items can be purchased from multiple sources. Quotes and bids submitted to the University must be held in strictest confidence and under no circumstances should suppliers be given information about quotes or bids or pricing obtained from competing sources. Upon request, Procurement Services will assist in locating potential suppliers and obtaining pricing and product availability information.

Definitions:

- **Documented Quotes**: Electronic quotes obtained through Buy It eMarketpalce or emailed vendor quotes are strongly preferred. Screen capture of applicable vendor, product and pricing information obtained during internet product research is also acceptable. Verbal quotes over the telephone or in person are only permissible if they are subsequently clearly documented by the requisitioner in writing or e-mail. **All quotes must** include the following information:
  - Vendor Name
  - Quote Date
  - How long the quote is valid for, usually 30-60 days
  - Vendor Quote Number (if applicable)
  - Product/Service Description
  - Quoted Price (must be an exact price and not a range)

- **Formal / Sealed Bidding Process (preferred method of procuring construction)**: A formal process where the well-defined specifications are provided to interested bidders in written format and award is made based on vendor meeting all requirements and has the *lowest bid price*.

- **Request for Proposal (RFP) (for services or for when maintenance and/or customer service is a large component of the award)**: A formal process where defined specifications are provided in written format, and the contract is awarded to the bidder whose proposal is most advantageous / best total cost of ownership, *with price being one of the selection factors*.

- **Request of Qualifications (RFQ)**: A formal process used in choosing providers for architectural, engineering, and other professional services for requirements anticipated, but yet to be specified.

The University’s required procurement processes, policies and procedures follow.

<table>
<thead>
<tr>
<th>Procurement Requirement</th>
<th>Total Aggregate Spend Threshold</th>
<th>Process and Documentation Requirement For Federal Research and Grants Related Funding Sources (Sponsored Projects)</th>
</tr>
</thead>
</table>
| Micro Purchase          | < $10,000                      | - **Use of Preferred Suppliers strongly recommended**  
- No documentation required.  
- Purchases should be distributed equitably among qualified diverse / disadvantaged suppliers to the extent practical.  
- No self-approval is allowed on federal funds. |
Small Purchase / Simplified Acquisition Threshold

<table>
<thead>
<tr>
<th>Procurement Requirement</th>
<th>Total Aggregate Spend Threshold</th>
<th>Process and Documentation Requirement For Non-Federal Funds (all other funds)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Micro Purchase</td>
<td>&lt; $10,000</td>
<td>● Use of Preferred Suppliers strongly recommended, OR</td>
</tr>
<tr>
<td></td>
<td></td>
<td>● Obtain at least 3 documented quotes</td>
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<tr>
<td></td>
<td></td>
<td>● Complete Vendor Selection Form (VSF) to summarize the quotes, and indicate the chosen vendor.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>● Purchases should be distributed equitably among qualified diverse / disadvantaged suppliers to the extent practical.</td>
</tr>
<tr>
<td>Small Purchase / Simplified Acquisition Threshold</td>
<td>&gt;$10,000 to $250,000</td>
<td>● Use of Preferred Suppliers strongly recommended, OR</td>
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<tr>
<td></td>
<td></td>
<td>● Obtain at least 3 documented quotes</td>
</tr>
<tr>
<td></td>
<td></td>
<td>● Complete Vendor Selection Form (VSF) to summarize the quotes, and indicate the chosen vendor.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>● Purchases should be distributed equitably among qualified diverse / disadvantaged suppliers to the extent practical.</td>
</tr>
<tr>
<td>Large Purchases</td>
<td>&gt; $250,000</td>
<td>● Obtain at least 3 documented quotes.</td>
</tr>
<tr>
<td>(Formal Bidding and RFP process required)</td>
<td></td>
<td>● Complete Vendor Selection Form (VSF) to summarize the quotes, and indicate the chosen vendor, OR complete a formal written bidding/RFP/RFQ process.</td>
</tr>
</tbody>
</table>

6. **Sole Source Procurement**

   When it is not possible to obtain competitive bids, a sole source justification that meets the acceptable criteria is required. For sponsored projects, the acceptable justifications are limited to those permitted by the Uniform Guidance Procurement Standards.
The Uniform Guidance Procurement Standards went into effect for the University on June 1, 2018 and apply to awards or funding increments issued on or after that date. Purchases funded by federal grant funds must adhere to regulations found in the Uniform Guidance as a condition of receiving funds and to meet annual audit compliance.

In general, a “sole source” procurement is defined as any contract entered into without a competitive process, based on the existence of one of four justifications. Specifically, to be considered a sole source, one of the conditions specified on the Sole Source Justification Form must be met, which for sponsored projects, the acceptable criteria for a sole source justification are set by the Uniform Guidance rules. These are:

- The item/service is available only from a single source;
- The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation;
- The federal awarding agency or pass-through entity expressly authorizes noncompetitive proposals in response to a written request from the non-federal entity (OSP/BMRA should route such a request to the federal agency and will manage such request as an Agency “prior approval” request); or
- After solicitation of a number of sources, competition is determined inadequate.

In accordance with Uniform Guidance sections 2 CFR §200.320(f), entitled procurement by noncompetitive proposals, and §200.323, entitled contract cost and price, all requests using federal grant funds over $250,000 to purchase through a sole source will require a detailed cost breakdown from the supplier including the requested profit.

For non-federal funded purchases, the same four criteria for a sole source justification also apply and the Sole Source Justification Form must also be satisfactorily completed and approved by Procurement Services.

Sole source purchases are an exception to University policy and must always be in writing. Procurement Services will review and determine whether to approve a sole source purchase on a case-by-case basis based on one or more of the following criteria:

- The requestor has investigated and documented his/her evaluation of potential alternate sources of supply for the requested product and/or service;
- The requestor’s documentation explains how similar products and/or services cannot meet the required specifications; and
- The requester has documented that a good faith effort has been made to identify other sources.

No purchase may be made until Procurement Services has determined that a sole source purchase is justified.

7. **Procurement Methods**

The following are the primary procurement methods employed by the University. Any method beyond those listed below requires Procurement Services’ prior approval. All purchases must comply with this Procurement Policy, the Travel, Authority for
Negotiation and Approval of Contracts and all other related University policies. Any questions regarding the types of items and the method through which they should be purchased should be directed to Procurement Services.

Use of any purchasing method for personal purchases will be considered misappropriation of University funds and will subject individuals to disciplinary action in accordance with University policies and procedures, which can result in termination of employment.

- **Purchase Order (PO):** A purchase order (PO) is the preferred purchasing method for all purchases regardless of dollar amount. It is done through a requisition process in Buy It eMarketplace, the University’s eProcurement system, which encumbers funding and routes in the system for departmental, budgetary approvals, before it is converted into a PO by Procurement Services and dispatched to the vendor. A PO will reference the University’s terms and conditions, and states that payment will not be remitted to any invoice that does not reference an Illinois Tech PO number.

Procurement Services strongly encourage departments to go through the requisition process and have a PO in place prior to receipt of goods or services from a vendor. After the fact POs / check requests, otherwise called retrofit orders in Buy It eMarketplace, issued solely for the purpose of paying an invoice for goods and services already received/Performed is not a leading practice, and is therefore generally not permitted. Exceptions to the use of a PO is listed in the table below.

- **Procurement Card (P-Card):** A credit card issued to authorized employees to make allowable purchases of goods and supplies up to $2,499.99 on behalf of the University. (Larger amounts may be permitted at the discretion of the Vice President for Finance or designee.) The P-Card is also used for authorized University business travel expenses by University staff and faculty. As the P-Card is billed to and paid for by the University, P-Card holders are personally responsible for their assigned P-Cards, must not allow others to use their P-Cards, and should diligently secure the card at all times to guard against fraud and unauthorized use of the P-Card. P-Card holders must also complete the necessary receipt attachments, provide business expense description, and complete monthly reconciliation process in a timely fashion.

- **Request for Check:** A check request for payment is only allowable for student travel and expense reimbursements. All vendor invoice payments must go through the Buy It eMarketplace requisition process unless it is a special case and has received specific approval from the Director of Procurement Services.

- **Expense Reimbursements:** Use of personal funds is only allowed for the purpose of allowable goods when logistical or extenuating circumstances occur that preclude use of a PO or P-Card. The purchase of allowable goods using personal funds in excess of $500 is prohibited unless it is the only viable alternative given the circumstances. Services may not be procured with personal funds, excluding travel related services such as dining, ground
transportation, etc.

The matrix below should be used as a guide to identify and determine the appropriate Procurement Method based on spend thresholds, types of goods/services, and any exceptions.

<table>
<thead>
<tr>
<th>Spend / Types of Goods and Services</th>
<th>Buy It Requisition/PE</th>
<th>Procurement Card</th>
<th>Paper Request for Check</th>
<th>Paper Expense Reimbursement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goods / Supplies &lt; $2,500</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Goods / Supplies &gt; $2,500</td>
<td>✓</td>
<td>×</td>
<td>×</td>
<td>×</td>
</tr>
<tr>
<td>Services (Especially On Campus / Onsite Services)</td>
<td>✓</td>
<td>×</td>
<td>×</td>
<td>×</td>
</tr>
<tr>
<td>Institutional Memberships and Conference/Seminar Registrations</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Staff and Faculty Travel Related Expenses (Air, Hotel, Meals, Uber, etc.)</td>
<td>×</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Payment of Illinois Tech Student Reimbursement</td>
<td>×</td>
<td>×</td>
<td>✓</td>
<td>×</td>
</tr>
<tr>
<td>Wire Transfer Requests</td>
<td>✓</td>
<td>×</td>
<td>×</td>
<td>×</td>
</tr>
<tr>
<td>Must <strong>ALWAYS</strong> go through Buy It Requisitions</td>
<td>✓</td>
<td>×</td>
<td>×</td>
<td>×</td>
</tr>
</tbody>
</table>
  • Industrial alcohol
  • Animals
  • Hazardous chemicals / material
  • Drugs
  • Radioactive material/waste
  • Professional/Consulting services

8. **Timely Reimbursement and Invoice Processing**

In accordance with the University's Travel Policy, in order to avoid having the reimbursement be taxable to the individual, reimbursement of expenses should be submitted within 60 days of completing the travel or incurring the expense; otherwise, this may result in the reimbursement being taxable to the individual. Exceptions to the 60 day policy must be approved by the Controller's Office.

All vendor invoices issued against purchase orders should be **emailed directly** to central Accounts Payable at invoicing@iit.edu. Should the departments receive any vendor paper or emailed invoices, they should be **emailed** to Accounts Payable at invoicing@iit.edu immediate for timely invoice processing and vendor payment to avoid any late payment associated penalties.

9. **Contracts Requirement and Signatory Authority**

All purchase contracts, vendor agreements, and transactions for the purchase of goods and services must receive approval for both contract signature and payment approval.
Procurement Services is authorized to execute contracts and place orders for goods and services, subject to the receipt of an approved purchase requisition from the initiating department. Procurement Services has delegated authority to the departments to work directly with suppliers when the transaction dollar value is less than $10,000.

Although certain types of transactions may require review and approval regardless of size, in general, all contracts for goods and/or services in excess of $100,000 must be submitted to the General Counsel’s Office for review. If there are incremental orders with a single vendor that will exceed $100,000 in total over any 12-month period, then there must be a contract with the vendor and it must be reviewed by the General Counsel’s Office.

An individual does not have signatory authority to initiate or to enter into a contract or transaction, and should not represent that he or she has authority, unless such authority is specifically provided for in this or other policy documents or corporate resolutions. If authority is not clear, the General Counsel’s Office should be consulted. Please reference the Authority for Negotiation and Approval of Contracts policy for the list of Authorized Signatories. The University shall have no obligation to honor contracts or transactions entered into that are not in compliance with applicable University policy.

Please note that payment terms (how quickly the University will pay the vendor, such as net 45 days after invoice date, payment upon invoice receipt, and the like) and payment methods (how the University will pay the vendor, via check, wire transfer, direct deposits, or another method.) are not negotiable at the department level, as they are part of the University’s broader vendor payment strategy and is managed by Procurement Services.

10. Emergency Purchases
An emergency is defined as a situation in which University student, faculty, staff, visitors, the surrounding community, or facilities are at risk of imminent injury or damage likely to affect the continuing operations of the University. When an emergency condition arises, and the need cannot be met through normal procurement methods, the emergency purchase shall be made by whatever means necessary to mitigate the damage or risk. The P-Card should be used if possible; upon approval of the Vice President for Finance, or designee, limits will be raised to accommodate these purchases as necessary. If the P-Card is not feasible, then the emergency should be mitigated by whatever means is reasonably necessary. Procurement Services should be notified as soon as possible of the circumstances.

A justification memorandum describing the emergency circumstances and the purchase methodology utilized must be submitted to Procurement Services within 2 business days from the date of purchase. No emergency purchases are to conflict with the requirements of the Authority for Negotiation and Approval of Contracts policy.

11. Conflict of Interest and Ethics
Employees of the University have an obligation to avoid activities or situations that may appear to be, or could result in, a conflict of interest. Employees must not use their University positions to influence outside organizations or individuals for the direct financial, personal, or professional benefits of themselves, members of their
families, or others with whom there is a personal relationship.

For related policies and procedures, please see Conflict of Interest and Conflict of Commitment Policy and Prohibition on the Acceptance of Gifts.

Procurement Services is committed to fair and ethical business practices that promote open and fair competition in the best interests of the University and the success of its supplier relationships. Procurement Services abides by the National Association of Educational Buyers Code of Ethics.

12. Sales Tax Exemption
The University holds a tax exemption certificate from the State of Illinois. Vendors should be informed of the University’s tax-exempt status and be provided with a copy of the certificate which can be found at:


The University’s tax exemption is strictly prohibited from any personal use, and any such personal use will subject individuals to disciplinary action in accordance with University policies and procedures, which can result in termination of employment.
All university publications for distribution outside the university should be reviewed by the Office of Marketing and Communications (M & C) or its designee (e.g., the director of print communications at the Downtown Campus) for adherence to identity and style guidelines, as referenced in Procedure No. G.1.

When printing cannot be accomplished through IIT's Office Services Department or other campus resources, M&C should be consulted for production. M&C will prepare specifications for print projects, negotiate with outside printing sources for competitive bids and will recommend the printing vendor to be used by providing IIT departments with the vendor name and quote number. Departments are responsible for creating requisitions resulting in purchase orders to these vendors. Requisitions must include the vendor quote number provided by M&C. Only requisitions referencing vendor quotes will be processed to become purchase orders. Printing work done outside the university should not begin without a purchase order secured through the Purchasing Department.

Periodically, M&C and the Purchasing Department will review current and potential vendors and award strategic-vendor status based on various factors, including, but not limited to, quality, price, customer service, Minority/Women Business Enterprise status, and delivery or blanket purchase agreements. This list of strategic vendors and other resources is available through M&C and will be posted to the IIT Purchasing Portal Site.

These guidelines apply to work that engages silkscreen, engraving, letterpress or other reproductive techniques and offset printing.

Forms for internal use can be requisitioned through Office Services, M&C or the Purchasing Department, as appropriate.

For further information regarding purchasing printing, or purchasing in general, please refer to IIT's Purchasing Manual at:
http://www.iit.edu/policy_procedures/purchasing_policies_and_procedures.shtml
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I. GENERAL OVERVIEW

A. PURPOSE

The purpose of this Business and Travel Expense Policy (the “Policy”) is to provide departments, supervisors, employees and non-employees with specific policies and procedures regarding Illinois Institute of Technology (the “University”) business and travel expenses. Business expenses include those that are directly paid (e.g., Procurement Card) as well as expenses reimbursed to individuals who incur them on behalf of the University.

The primary emphasis of this Policy is on business and travel expense reimbursements because those expense reimbursements are the focus of Internal Revenue Service (“IRS”) accountable plan rules.

Business and travel expenses (including amounts allowable as per diems) that are reimbursed following IRS accountable plan rules are not subject to income or employment taxes (e.g., federal income tax withholding, social security taxes or Medicare taxes).

Generally, the following are the IRS requirements for tax-free reimbursements of expenses under an appropriate accountable plan:

1. There must be a valid business purpose for the expense and the expense must be reasonable and necessary.

2. There must be a reasonable accounting for the expense.

3. All excess reimbursements must be repaid within a reasonable amount of time.
The IRS has issued a number of regulations that further define these requirements and this Policy is designed to satisfy these regulations.

B. WHO SHOULD READ THIS POLICY?

1. Employees who incur expenses on the University’s behalf, including use of the University Procurement Card and other direct payment mechanisms.

2. Employees who travel on University business.

3. Employees who supervise employees incurring University business expenses.

4. Employees who make travel and other arrangements or prepare expense transactions for:
   a. University employees
   b. Prospective University employees
   c. University visitors
   d. Students who travel on approved University business
   e. University-sponsored conventions, conferences, or seminars

5. Non-employees (including, but is not limited to, visitors, recruits, independent contractors, consultants, students, and courtesy appointments) who travel for University-related business or incur expenses for which the University has agreed to pay.

C. GENERAL PROVISIONS

1. The University pays for business and travel expenses incurred in connection with University business that are appropriately documented and are in accordance with IRS accountable plan rules. (See Reporting Requirements.) In instances where expenses do not satisfy the requirements of the IRS accountable plan rules, the individual may, among other things, be taxed on those expenses.

2. Advance written authorization is required when University paid transportation out of the United States occurs. Written authorization is requested by completing a Travel Request Form (“TRF”), available at https://web.iit.edu/procurement-services/department-resources/procurement-forms.

3. The basic premise governing business and travel expenses is that an individual should neither gain nor lose funds in the course of conducting University business.

4. Because it is not possible to anticipate all of the circumstances that individuals may encounter in conducting University business, it is expected that those requesting reimbursement or incurring business or travel expenses and individuals preparing and approving expenses for payment will follow this Policy in a manner that keeps expenses
to a minimum, fairly assigns the costs of business-related activities to the University, and maintains a reasonable level of safety and convenience for the traveling individual.

5. All expenses must have a valid business purpose. The University will not reimburse or pay for expenses that are inherently personal in nature. Below are some examples of personal expenses:

   a. Personal grooming services, such as barbers, hairdressers, toiletries, and shoe shines;
   b. Child care costs, babysitting, and house-sitting costs;
   c. Pet care, including fees for boarding pets and other animal care;
   d. Any personal clothing and/or accessories;
   e. Prescriptions, over-the-counter medication, and other medical expenses;
   f. Personal reading material, such as non-scholarly magazines, books and newspapers;
   g. Personal recreation or entertainment such as greens fees, sightseeing fares, theater tickets, entry fees, lift tickets, and the like;
   h. Credit card delinquency fees and finance charges;
   i. Dues in private clubs;
   j. Gym and recreational fees, including massages, manicures/pedicures and saunas; and hotel room amenities, such as movies and alcohol from in-room bars, saunas, massages, etc.
   k. Personal insurance costs such as life insurance, business travel accident insurance, personal automobile insurance, except for international rental car insurance, and baggage insurance;
   l. Lost baggage;
   m. Loss or theft of travel advance money, airline tickets, personal funds and other personal property;
   n. Parking tickets or traffic violations; and
   o. Ticket reissue or change fees incurred for personal reasons.

6. The University will not pay for or reimburse business or travel expenses that have been or will be reimbursed from an outside source (other than expenses for which the University will be reimbursed under agreements such as grants or sponsored project agreements).

7. As departments govern how authorization for business and travel expenses is granted, departments may elect to impose additional restrictions beyond those required by this Policy for various business reasons, including budget availability.

8. A per diem travel allowance for meals is available for travel by University faculty, staff and student employees, but is not permitted for non-employees. Per diem reimbursement is not available for student employees who are being reimbursed for academic expenses not related to their employment.
9. The University will not provide travel advances, pay directly or make reimbursements for the travel expenses of companions/spouses or non-employees who accompany faculty or other employees on University business, except in limited circumstances. (See Companion/Spousal Travel and Business Expenses.)

**CAUTION:** Expenses that may be reasonable and necessary business expenses per this Policy may be unallowable for Federal, state or other sponsored program reimbursement, either directly or indirectly. Individuals incurring expenses or requesting reimbursement from agency or other sponsored funds should consult agency guidelines and/or the relevant contract to ensure that all agency or sponsor procedures and restrictions are followed. Any questions about the interpretation of agency or sponsor procedures or restrictions should be directed to Grant and Contract Accounting.

**D. REPORTING REQUIREMENTS**

IRS accountable plan rules require the University to maintain a policy under which employees and non-employees must account for all business and travel expenses, advances, and allowances. The accounting must include all of the following elements:

1. Sufficient information to establish a valid business purpose of the travel, entertainment, or other business expense.

2. Substantiation of the business and/or travel expense with required original receipts and an adequate record of each expense indicating the amount, date and place for all expenses of $75 or more. If alcohol is included in the receipt total, it must be identified and reported separately. (Departments may request detail for expenses below $75 for additional departmental internal control purposes.)

3. Substantiation of grant funded business and/or travel expenses with original receipts and an adequate record of each expense indicating the amount, date and place for ALL expenses.

4. The prompt return of any unused monies from travel advances. (See Travel Advances.)

In order to avoid having the reimbursement be taxable to the individual, reimbursement of expenses should be submitted within 60 days of completing the travel or incurring the expense; otherwise, this may result in the reimbursement being taxable to the individual. Exceptions to the 60 day policy are approved by the Controller’s Office.

**E. ORGANIZATIONAL RESPONSIBILITY**
The primary responsibility for compliance with this Policy rests with the individual requesting reimbursement or incurring the business expense and the departments and supervisors who are authorizing and approving these business and travel expenses. The responsibilities are defined as follows:

1. **Individual requesting reimbursement or incurring the business expense** The individual requesting reimbursement or incurring the business expense may delegate responsibility for preparation of the expense transaction but, in doing so, the individual retains accountability. Individuals requesting reimbursement or incurring the business expense are responsible for ensuring the following:

   a. The expense has a valid business purpose;
   b. Proper business justification and supporting documentation (e.g., receipts) have been obtained and/or provided to the business expense preparer;
   c. Proper approval for upgrades and exceptions has been obtained and has been provided to the business expense preparer;
   d. A valid FOAP has been provided to allocate the expenses; and
   e. To the best of the individual’s knowledge, the expense complies with this Policy and if the expense is to be charged to a sponsored award, the expense complies with all sponsor requirements/regulations.

2. **Business expense preparer**
   This individual is responsible for preparing the expense transaction, submission of which is confirmation of the following:
   a. Proper business justification and supporting documentation (e.g., receipts) have been received from the individual requesting reimbursement or incurring the business expense;
   b. Mileage and per diem calculations are accurate;
   c. Proper approval for upgrades and exceptions has been obtained and submitted by the individual requesting reimbursement or incurring the business expense; and
   d. The expense has been properly allocated to the FOAP(s).

3. **Business expense approver**
   This individual is responsible for approving the expense transaction, approval of which is verification of the following:

   a. The expense has a valid business purpose;
   b. There is proper supporting documentation (e.g., receipts) for the business expense;
   c. Mileage and per diem calculations are accurate;
   d. There is proper department approval for upgrades and exceptions;
   e. The expense has been properly allocated to the correct FOAP(s); and
f. To the best of the approver’s knowledge, the expense complies with this Policy and if the expense is to be charged to a sponsored award, that the expense is in compliance with all sponsor requirements/Federal regulations.

Permitted exceptions to this Policy may only be granted by the president, the provost, the department’s dean, a vice-president, or the designated departmental finance representative. The designated departmental finance representative must be designated by the department, and the department must notify the Controller’s Office of the department’s designation. Exceptions must be documented and submitted, along with the travel and expense reimbursement, as appropriate.

F. SHARING EXPENSES WITH EXTERNAL ORGANIZATIONS

Individuals are responsible for seeking reimbursement for expenses payable by external organizations. If an individual is taking a trip that will be paid by the University and an external organization, the University will pay its agreed upon share of the actual expenses necessary for University business. When an external organization pays for actual expenses incurred for lodging or meals, the individual may not claim per diem. The reimbursement received by the individual from all sources can never exceed the total expenses incurred by the individual.

When expenses are being shared with external organizations and the expense report justification field contains a detailed explanation of which organization is paying the balance of the expenses, a duplicate copy of the receipts will suffice for reimbursement.

G. PROCUREMENT CARD

The Policy applies to all business expenses incurred utilizing the University Procurement Card. Cardholders should also refer to the Procurement Card Cardholder Manual to familiarize themselves with what is and is not allowable to be purchased using the Procurement Card.

H. SALES TAX INFORMATION

Illinois Institute of Technology is a non-profit university organized and operated exclusively for educational purposes. We are exempt from tax under several federal and Illinois statutes for articles or services purchased with University funds (e.g., a University check, purchase order or Procurement Card) exclusively for use in our educational activities. As such, individuals conducting University business should obtain a copy of the University’s tax-exempt letter for use as applicable. A copy of the Illinois Sales Tax Exemption Form is located on the Controller’s website at http://www.iit.edu/policy_procedures/forms/purc_illinois_sales_tax_exempt.pdf. The sales tax exemption does not apply to hotel occupancy taxes, locations that are outside of the United States, and in some states.
When a tax relating to business or travel expenses is erroneously paid directly with University funds, it is the designated departmental finance representative’s responsibility to determine if the University, working through the Controller’s Office, should seek a refund of the sales tax that was paid. Questions regarding the possibility of obtaining a refund for sales tax paid should be directed to the Controller’s Office.

Sales tax incurred with personal funds for University business travel and for business meals will be reimbursed. Sales tax incurred with personal funds for other business purchases should include a description supporting the business purpose as to why the sales tax was paid and may be reimbursed subject to approval by the designated departmental finance representative.

For additional information or questions regarding sales tax, please consult the Controller Office Website or contact the Controller’s Office.

I. SPONSORED GRANTS AND CONTRACTS

Business or travel expenses funded by a sponsored grant or contract may also have additional requirements, or may be subject to additional restrictions or limitations, than those required by this Policy. The individual requesting reimbursement should consult the sponsoring agency guidelines and/or the relevant contract to ensure that all agency or sponsor procedures and restrictions are followed. Any questions or interpretation of Federal or sponsor restrictions should be directed to the designated departmental finance representative who may need to consult with the Grants and Contracts Accounting.

II. SPECIFIC EXPENSE POLICIES

A. INSURANCE, TRANSPORTATION, AND PARKING

1. Business Travel and Accident Insurance
   The University provides business travel and accident coverage for all active full-time faculty and staff members (and all part-time employees working at least seventeen and one-half (17.5) hours per week) on University approved and directed business travel. Specific questions regarding the University’s business travel and accident insurance coverage should be directed to Human Resources.

2. Using Preferred Travel Agency
   To assist University travelers, the University has entered into an agreement with a designated travel agency (DTA) that provides the University with competitive fares, high-quality service, and convenience for University travelers. This travel agency is set-up to bill the University directly for the cost of airfare, rather than the individual paying the cost personally and needing to be reimbursed. Like all other business expenses, all travel is subject to budgetary availability.
This payment method affords the traveler the means to arrange travel without affecting the outstanding credit balance on Procurement Card, going through the cumbersome process of arranging direct billing with travel providers, or tying up personal credit through use of personal credit cards. Travel purchases made using the DTA are considered as advances to the traveler. They must be identified and submitted on the reimbursement form as such when reporting expenses.

The current Designated Travel Agency is identified on the University’s Purchasing Website.

In order to make travel reservations through DTA, the TRF must be faxed or emailed to the DTA and include the FOAP. The DTA will not proceed with travel arrangements unless the TRF has been received. The DTA is not responsible for validating the authenticity of the TRF as to FOAP or Approving Authority.

3. Air Transportation

Federal law (the Fly America Act) states those federal awardees and others undertaking federal government air travel between the United States and a foreign country or between foreign countries should use United States flag carriers to the maximum extent possible. This requirement is not affected by factors of cost and/or convenience. Code share flights are acceptable under the Fly America Act; however, in order for a flight to be in compliance, the code of a U.S. flag air carrier must be noted as part of the flight number on the airline ticket, flight coupon (boarding pass), or passenger receipt.

The practices specified by the Fly America Act may differ among Federal agencies. Accordingly, individuals traveling abroad whose travel will be charged to a Federal grant or contract should consult agency guidelines to ensure compliance with agency procedures and restrictions. Any questions or interpretation of Federal regulations should be directed to the designated departmental finance representative who may need to consult with Grant and Contract Accounting.

Please be aware that the University has applied this requirement only to sponsored award air travel. Operating and gift costs are excluded from the application of Fly America Act.

An exception to the Fly America Act may apply through an airline “Open Skies Agreement”. These agreements are either bilateral or multilateral air transportation agreements that meet the requirements of the Fly America Act, as determined by the Department of Transportation. These agreements can be located on the U.S. General Services Administration (GSA) website at http://www.gsa.gov/portal/content/103191. Additional exceptions and explanations to some frequently asked travel questions can be located in the Electronic Code of Federal Regulations, located at http://ecfr.gpoaccess.gov, under 41 CFR 301-10 –

An exception in regard to the Open Skies Agreement is that a U.S. flag air carrier must be used for transportation between points where there is a City Pair Contract. A City Pair Contract is negotiated by the government to provide cheaper fares for government travel on certain popular routes. The U.S. General Services Administration (GSA) website at http://cpsearch.fas.gsa.gov/ may be used to determine whether or not a city pair contract is in effect.

a. Class

The class of air travel chosen is expected to be the lowest-priced coach airfare ticket available using a commercial discount or coach class or standard accommodations. As discussed below, first class and business class air travel are generally not reimbursable, except when unusual circumstances warrant exception such as excessively prolonged travel, requiring circuitous routing, and requiring travel during unreasonable hours or offering accommodations not reasonably adequate for traveler’s medical needs. These exceptions must be approved in advance in writing by the appropriate vice president or dean, when applicable the appropriate sponsoring federal agency.

The traveler may be reimbursed for business class when permitted by the sponsoring agency (if applicable) and the approval has been obtained by the vice president, dean or designated departmental finance representative approving the travel request.

For airline tickets funded by a sponsored grant or contract, the individual requesting reimbursement should consult agency guidelines and/or the relevant contract to ensure that all agency or sponsor procedures and restrictions are followed. Any questions or interpretation of Federal or sponsor restrictions should be directed to the designated departmental finance representative who may need to consult with Grant and Contract Accounting.

Premium (e.g., first class, business class) fares may be an appropriate business expense subject to budget availability and pre-approval by the president, the provost, the dean, a vice president, or the designated departmental finance representative. Examples include but are not limited to the following:

i. Overnight “red-eye” flights;
ii. Flights exceeding eight (8) continuous hours; or iii. Medical conditions.

b. Frequent Flyer Plans

Travelers may personally retain frequent flyer plan rewards or other bonuses that may accrue from business travel. However, in no case may the traveler choose a
reservation at a higher cost in order to accumulate additional plan rewards. The University will not purchase frequent flyer miles from travelers or reimburse them for tickets purchased with frequent flyer miles. Any membership fees to join frequent flyer clubs are considered personal expenses and will not be reimbursed by the University.

c. **Airport Airline Club Memberships**
   Dues for memberships in airline clubs are personal expenses and are not reimbursable.

d. **Baggage**
   Charges by airlines for checked baggage when traveling on University business are a reimbursable business expense.

   Excess baggage expenses are reimbursable. The traveler should plan ahead and minimize extra charges; however, when unavoidable, departmental approval is required for any of the following circumstances:

   i. Traveler is transporting University materials; or ii. Traveler is on an extended period of travel.

e. **Upgrades**
   A request for reimbursement for an upgrade for seats, premium boarding or the like must include a description supporting the business purpose as to why the upgrade was appropriate and must be approved by the individual’s supervisor and designated departmental finance representative.

f. **Parking**
   Airport or other business parking will be reimbursed, but travelers are urged to use long-term, lower-cost parking lots when available. If public transportation or a cab taken to and from the airport or other business location would result in a lower cost (due to the high cost of parking in most cities and airports), the traveler is encouraged to take advantage of these savings.

g. **Early Departure or Late Return**
   Additional costs incurred for early departure or late return are not reimbursable unless the savings in airfare is equal to or greater than the total costs for lodging, meals and the like incurred during the additional days of travel. It is appropriate to consider other relevant costs and factors against the savings in airfare, including the inherent cost of being out of the office for a longer period of time. Early departure and late return costs must be approved by the designated departmental finance representative.
h. **Lost Luggage/Items**

The University does not maintain any lost luggage/items insurance coverage for any loss of personal belongings of its employees while on University business travel. University employees are encouraged to make their own arrangements for this type of insurance coverage either through their personal homeowners/renters insurance company or with their travel agent at the time of travel. The University will reimburse for this type of insurance only if there is a valid business purpose and the expense is approved by vice president, dean, department chair or designated departmental finance representative.

4. **Automobile Travel**

a. **Personal Automobiles**

When the use of a personal automobile is necessary for University business, reimbursement for its use will be made at the mileage rate published by the IRS. Employees at international locations may be required to adhere to country specific mileage rates and should consult their vice president, dean, department chair or designated departmental finance representative with questions.

It is the responsibility of the traveler to ensure that the proper mileage rate is being used and the distance is based upon actual driving distance using the most direct route. The traveler is required to document the total miles traveled either by providing driving directions from various websites or maintaining a travel mileage log. The mileage reimbursement rate covers reimbursement for use of the vehicle as well as any repairs, gas charges, and the owner's personal automobile insurance coverage, which provides the coverage in case of an accident. Tolls and parking fees are reimbursable. The University will not reimburse employees for parking tickets, fines for moving violations, vehicle towing charges, or auto repairs and maintenance.

Mileage between University campuses will be reimbursed based on the chart below. The traveler does not need to provide supporting documentation.

<table>
<thead>
<tr>
<th>From Campus</th>
<th>To Campus</th>
<th>Mileage</th>
</tr>
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<tbody>
<tr>
<td>Main Campus</td>
<td>Downtown Campus</td>
<td>4 Miles</td>
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<tr>
<td>Main Campus</td>
<td>Moffett Campus</td>
<td>13 Miles</td>
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<tr>
<td>Main Campus</td>
<td>Rice Campus</td>
<td>36 Miles</td>
</tr>
<tr>
<td>Main Campus</td>
<td>Institute of Design</td>
<td>5 Miles</td>
</tr>
<tr>
<td>Downtown Campus</td>
<td>Moffett Campus</td>
<td>15 Miles</td>
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<tr>
<td>Downtown Campus</td>
<td>Institute of Design</td>
<td>1 Mile</td>
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<tr>
<td>Downtown Campus</td>
<td>Rice Campus</td>
<td>33 Miles</td>
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<tr>
<td>Downtown Campus</td>
<td>Main Campus</td>
<td>4 Miles</td>
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<td>Moffett Campus</td>
<td>Rice Campus</td>
<td>23 Miles</td>
</tr>
<tr>
<td>Moffett Campus</td>
<td>Institute of Design</td>
<td>15 Miles</td>
</tr>
</tbody>
</table>
b. Domestic Rental Cars

Rental of vehicles for University business use should be arranged through the University’s preferred suppliers.

Standard vehicles are the recommended vehicle size for rental purposes. Upgrades to full-size cars are permissible if the traveler’s approver or department designee provides approval, a detailed explanation (e.g., number of persons, luggage accommodations) is included in the business justification, and it is an allowable cost by the governmental sponsoring agency (if applicable). In addition to the payment for the cost of the rental car, the only other permissible expense for rental cars in most cases is the cost to purchase any gasoline.

The University maintains insurance for employees on University business. Vehicles rented for University business purposes for less than thirty (30) days are considered short-term rentals by the University’s current automobile insurance carrier. Rentals for more than 30 days will require approval by the traveler’s president, provost, vice president or dean and General Counsel’s Office. Coverage of short-term rentals under the University’s automobile insurance policy is subject to the following conditions:

i. All drivers of rental vehicles must be over the age of twenty-one (21);  
ii. Coverage under the University's automobile insurance policy is only provided for vehicles rented in the United States, the territories and possessions of the United States, Puerto Rico and Canada; and  
iii. Rented vehicles should be leased as: Illinois Institute of Technology - (name of faculty, staff, or student).

The insurance coverage’s below should not be purchased by those traveling in the United States, any territory or possession of the United States, Puerto Rico or Canada. The University already maintains automobile liability insurance within these countries and territories. Costs for the following coverage’s will not be reimbursed:

i. Loss Damage Waiver/Collision Damage Waiver;  
ii. Liability insurance supplement/Additional Liability insurance; and  
iii. Personal accident insurance.
c. **International Vehicle Rentals**

University employees renting vehicles for international business travel outside the coverage territory of the United States, the territories and possessions of the United States, Puerto Rico and Canada are to purchase automobile liability and physical damage insurance required by the specific country. University employees will be reimbursed for any required coverage and/or the following:

i. Loss Damage Waiver/Collision Damage Waiver; and ii. Supplemental liability insurance, if any.

Regardless of location, the following optional insurance coverage will not be reimbursed:

i. Personal effects coverage/effects protection; and ii. Personal accident insurance.

Any accident involving a rental vehicle in either a domestic or international location must be timely reported to both the car rental agency and the General Counsel’s Office for handling of claims and coordination of coverage. The renter of the vehicle must secure a police report concerning the accident and deliver this report to the General Counsel’s Office as soon as possible.

d. **Ground Transportation**

Ground transportation is an appropriate business expense (including a tip) to the extent that such service is necessary for business purposes.

5. **Rail Travel**

The class of rail travel chosen is expected to be the lowest-priced coach rail ticket available. In some cases, premium (e.g., first class) fares may be an appropriate business expense subject to budget availability and approval by the president, the provost, dean, vice-president or designated departmental finance representative.

Travelers are encouraged to request pre-approval for premium fares and must follow departmental guidelines/procedures.

6. **Foreign Travel**

All policies and procedures pertaining to travel apply to foreign travel. Actual costs are reimbursable, to the extent reasonable and necessary, provided valid business purposes and appropriate documentation are submitted with the expense report.

The U.S. State Department maintains a list of countries for which travel advisories have been issued. Countries where avoidance of travel is recommended will have Travel Warnings as well as Consular Information sheets. The State Department’s Web site for travel advisories is: [http://travel.state.gov](http://travel.state.gov).
Additionally, a traveler should consult the additional University travel resources (General Counsel’s Office) at least 30 days prior to any planned travel to any country for which an advisory has been issued to ensure the traveler is covered by the University’s insurance.

Foreign travel funded by sponsored grants or contracts may require agency or sponsor approval prior to travel. Individuals traveling abroad should consult agency guidelines and/or the relevant contract to ensure compliance with agency or sponsor procedures and restrictions. Any questions or interpretation of Federal or sponsor restrictions should be directed to the designated departmental finance representative who may need to consult with the Grants and Contracts Accounting.

Most Federal agencies require that all foreign travel be on a U.S. carrier unless circumstances, such as lengthy holdovers, preclude using a United States airline (See Air Transportation).

Many sponsoring agencies or sponsors require approval of international trips abroad well in advance of departure. This requirement exists whether or not travel is referenced in the grant or contract award notification. Arrangements for foreign travel supported by sponsoring agencies or sponsors can be complex, requiring not only prior approval but detailed justification for each trip, as well as detailed trip reports.

When completing the expense report, expenses must be reported in U.S. dollars. Foreign expenses must be submitted in U.S. dollars using the exchange rate in effect during the time of travel. The exchange rate used must be noted on each receipt when receipts are represented in foreign currency, along with supporting documentation which identifies the exchange rate used for the conversion calculation. However, if purchases were made via credit card, a copy of the credit card receipt, in U.S. dollars, should be submitted as supporting documentation. Currency exchange rates can be found at the OANDA website, http://www.oanda.com/.

B. LODGING

1. General
The University will directly pay or reimburse a traveler for lodging expenses for the single occupancy cost of a standard room incurred during University-related travel. Travelers must retain an itemized hotel bill for reimbursement of their lodging expenses.

The University will not pay for free accommodations awarded in connection with hotel frequent guest programs or any complimentary room accommodations provided by a hotel or other third party.
Individuals traveling should consult agency guidelines and/or the relevant contract to ensure compliance with agency or sponsor procedures. Any questions or interpretation of Federal or sponsor restrictions should be directed to the designated departmental finance representative who may need to consult with the Grants and Contracts Accounting.

2. Cancellations

The University will pay for expenses incurred from cancelling guaranteed room reservations only with a detailed explanation of the extenuating circumstances. The detailed explanation must be approved by the president, the provost, dean, vicepresident, or designated departmental finance representative and must be documented and submitted as appropriate with the travel expense form. It is the traveler’s responsibility to request a refund from the hotel for a “no show” charge.

C. TRAVEL PER DIEMS– FOR EMPLOYEES ONLY

Employees may be reimbursed for meals utilizing the per diem rates. Departments may require reimbursement based on actual expenses with receipts in lieu of per diem based upon departmental-specific policies and procedures.

U.S. General Services Administration (GSA) periodically revises the per diem rates based on the costs of meals. Employees must use the per diem rates in effect at the time of travel. The per diem rates used must comply with those listed on the GSA website at: http://www.gsa.gov/perdiem/.

<table>
<thead>
<tr>
<th>Meal and Incidentals Expense</th>
<th>Per Diem Rates</th>
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<table>
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<tr>
<th>Domestic Rates, also known as Continental United States (CONUS)</th>
<th><a href="http://www.gsa.gov/portal/category/21287">http://www.gsa.gov/portal/category/21287</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>Domestic rates are established by the General Services Administration (GSA). Click on the above link and select the state of your travel destination. This will populate a list of cities and counties for that state. Once you have identified your destination location, look to the far right column labeled M&amp;IE for the current meals and incidental expense per diem. If the city is not listed, but the county is, then the per diem rate is the rate for that entire county.</td>
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<tr>
<th>Foreign Rates</th>
<th><a href="http://aoprals.state.gov/web920/per_diem.asp">http://aoprals.state.gov/web920/per_diem.asp</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>Foreign rates are established by the U.S. Department of State and are listed by travel country.</td>
<td></td>
</tr>
</tbody>
</table>

For budgeting constraints, departments may set per-diem rates below the approved rates, as in many cases reimbursement on a per diem basis will be more costly than reimbursement of actual expenses. The department is required to document the lower rates in writing to the traveler before the travel has occurred.

Per diems apply to the entire travel period – an employee cannot be reimbursed on a per diem basis for only a portion of a trip. Documentation for the claimed per diem must accompany the reimbursement request (i.e., GSA per diem schedule). A per diem reimbursement will not be provided if there is reason to believe that the employee does not incur meal expenses.

Per diem calculations for the first and last day of travel must take into account departure and arrival times and must be prorated accordingly if the first and/or last business day of travel does not encompass at least 7.5 hours of travel and/or work time.

Additionally, the University's meal per diem will be reduced to account for meals furnished at no cost to the employee. For example, if meal costs are provided in the cost of a conference, airfare or hotel, those meals will be deducted from the daily per-diem rate.

Employees who are eligible to receive per diem reimbursement need not submit receipts for the meals covered by a per diem. However, recipients of per diem must submit documentation (e.g., airline and conference itineraries) confirming the travel dates. In addition to per diem, employees may be reimbursed for certain other travel and business expenses. These expenses may include the costs of business transportation (including local transportation), business telephone calls, and other miscellaneous business expenses; all of the latter must be reimbursed on an actual basis, with appropriate receipts.
D. 30 DAYS CONSECUTIVE TRAVEL

When travel is expected to occur for more than 30 consecutive days in one location, or when the circumstances of the travel are such that the traveler can reasonably be expected to incur expenses comparable to those arising from the use of establishments catering to the long-term visitor or from the use of non-commercial facilities, the traveler may be reimbursed either for the actual and reasonable costs incurred or with a per-diem allowance equal to 60% of the standard rate for the appropriate geographic area. The reduced rate begins with the first day of travel.

E. ALCOHOL, MEALS, AND ENTERTAINMENT

1. General

Depending on the particular circumstances under which the expenses are incurred, expenses for alcohol, meals, and entertainment will be treated as follows:

a. Entertainment expenses (see Business Entertainment) incurred in the course of conducting business, are unallowable as either a direct or indirect expense of federally sponsored projects;
b. Business expenses may be allowable as either a direct or indirect expense of federally-sponsored projects, as provided by the applicable agency guidelines;
c. Alcohol is an unallowable expense on federally sponsored projects;
d. Personal expenses - will not be reimbursed.

For meals funded by a sponsored grant or contract, the individual incurring the business expense should consult guidelines and/or the relevant contract to ensure compliance with all agency or sponsor procedures and restriction. Any questions or interpretation of federal or sponsor restrictions should be directed to the designated departmental finance representative who may need to consult with Grant and Contract Accounting.

2. Travelers’ Meals

The University will reimburse travelers for the reasonable cost of their own meals incurred during the time they are away from home (as distinguished from business entertainment expenses or local business meals covered in the following sections).

Employees can choose to be reimbursed via per diem or actual cost for meals. Nonemployees can only be reimbursed for actual costs incurred for meals.

As a general rule, travelers are expected to incur no additional cost when meals are provided as part of a fee for attendance at conferences, workshops, or hotel cost, or which are provided by an airline while enroute to their destination. When meals are provided in this way, the daily meal per diem is reduced accordingly. (See Travel Per Diems – For Employees Only). If there is a business justification provided regarding
dietary restrictions, the traveler may be reimbursed for the meal. Any exceptions (i.e. dietary restrictions) must be approved by the traveler’s approver.

The traveler is responsible for itemizing meals that were included as part of the conference registration fee, hotel cost, or the like.

Travelers sometimes pay for meals for others for University business reasons. These business expenses must include the name(s) of the meal attendees and the business purpose of the meal. If the attendees are not University employees, their affiliation with the University should be provided. For meals with six or more individuals including the traveler, the traveler need only identify the number of other people at the meal, and the business purpose.

3. Business Meals and Meetings When Not Traveling

a. Employee Only Business Meals

In cases where University employees meet over a meal when they are not traveling, the cost of the meal is considered a personal expense unless the primary purpose of the meeting is to conduct University business and there is a need to meet over the meal. Generally, these requirements are met when it is not possible for one or more employees to meet during working hours (e.g., when travel plans conflict with other meeting times) and the purpose of the meeting is to conduct University business in accordance with a formal agenda. IRS regulations do not allow for payment of meal expenses incurred by employees who are not traveling away from home (e.g., their travel does not require an overnight stay) unless the above criteria are met. These business expenses are permissible when the name(s) of the meal attendees (all names are required for those meals with five or fewer individuals) have been documented and the business purpose of the meal is justified.

It is permissible to incur expenses for meals provided as part of a local conference, seminar, workshop, presentation or other similar group meeting involving employees when it extends through the usual mealtime(s). Such meals must be reasonable in nature and the purpose of the meeting must be documented accordingly to ensure that it is an appropriate business expense.

All business meals requests for reimbursement are subject to budget availability.

b. Occasional Employee Banquets and Functions

Occasional – generally, annual or semi-annual – functions for employees are considered business expenses when the function is intended to serve as a token of appreciation that primarily promotes employee relations/morale or that recognizes individual or group achievements, such as holiday parties, employee banquets, retirement parties, or the like. While reasonable expenses for these functions may
be considered appropriate business expenses per this Policy, they may be unallowable for federal reimbursement.

Occasions that are personal in nature such as parties to celebrate births, marriages, or small in-office functions with purchased food or beverages are ordinarily paid for by the employees involved and are not considered business expenses.

c. Recruiting and Other Business Meals
Expenses for dining involving non-University personnel are considered business expenses when the purpose of the meeting is to conduct University business and when it is necessary or appropriate to have the meeting in conjunction with, or during, a meal. Expenses for such meals should be kept to a reasonable level. The typical business meal might involve interviews of prospective employees, discussions with vendors, consultants, or other individuals with whom the University does business, or meetings of organizations and groups at which agenda items pertinent to University business are covered.

Inclusion of companions/spouses or other individuals who are not directly involved in conducting University business are general indications that the occasion is not a business meal, but an entertainment function. (See Business Entertainment.)

Recruiting expenses are further subject to departmental specific policies and procedures.

d. Alcohol in Conjunction with Business Meals and Individual Travelers
While not encouraged, alcohol may be considered a business expense (as distinguished from an entertainment expense) when served at University functions primarily intended to promote employee relations, such as faculty receptions, holiday parties, and the like.

Because alcohol cannot be charged to a federal grant or contract (either directly or indirectly), alcohol costs must be charged to the unallowable object code/expense type and to a non-federal account. Please refer to Appendix A for all unallowable expenses on federal grants.

F. BUSINESS ENTERTAINMENT

1. What is Business Entertainment?
Meals and functions are considered entertainment if they are intended to provide hospitality to non-University individuals which, although partially social in nature, are necessary and customary in furthering the University's business.

Examples of business entertainment include:
   a. receptions for University guests and visitors;
   b. alumni reunions or similar alumni functions;
c. entertaining donors or prospective donors; and
d. welcoming receptions for parents and students.

Meals and functions which include companions or spouses or other individuals who are not directly involved in conducting University business are general indications that the meal or function is entertainment rather than a business meal or meeting. (See Companion/Spousal Travel and Business Expenses.)

Entertainment expenses should be reasonable in relation to the nature of the meal or function and the resulting business benefit expected to be derived from the expenses. A description (either a list of names or identification of the hosted group) and the total number in attendance at an entertainment meal or function must be indicated along with the business purpose of the entertainment. The business purpose of the entertainment must also be documented.

Because entertainment expenses are rarely, if ever, allowable as either direct or indirect costs of federally sponsored grants and contracts, it is imperative that these and any related alcohol costs be segregated and charged to either an unallowable object code/expense type or appropriate function to ensure that the amount is excluded from any calculation of direct or indirect sponsored project costs.

2. Alcohol in Conjunction with Business Entertainment
   If it is deemed appropriate by the president, provost, vice president, dean, or designated departmental finance representative to include alcohol at a University entertainment function, expenses for the alcohol must be charged to the unallowable object code/expense type.

G. OTHER BUSINESS AND TRAVEL EXPENSES

1. Visitors, Recruits, Independent Contractors, Consultants, Students, Courtesy Appointments and Other Non-Employees

When the University has agreed to cover the cost of travel, room and/or board, and other expenses of visitors, recruits, independent contractors, consultants, students, courtesy appointments, and/or other non-employees (hereinafter collectively referred to as “non-employees”), this Policy applies to their expenses as well, unless the relevant contract with the non-employee requires otherwise.

Non-employees must adhere to the same reasonableness standards and submit required receipts or other documentation supporting expenses.

It is the responsibility of the department to make non-employees aware of this Policy.

Payment of non-employee’s expenses will be made once the following have occurred:
(i) A non-employee expense report has been submitted that documents the relationship of the individual, clearly describes the business purpose of the expenses, includes proper supporting documentation, and is approved by the applicable department; and

(ii) The Travel and Expense Reporting department in the Controller’s Office has audited the expense report for valid business purpose, accuracy and proper supporting documentation. (Note that additional information may be requested.)

Departments may also consider entering into an appropriate contract with the nonemployee for payment of fees that includes the non-employees expenses rather than submitting a non-employee expense report for payment of expenses.

The University will reimburse agreed upon the travel costs of students and nonemployees (such as job applicants, graduate student pre-admission visits, seminar speakers, lecturers, consultants and other individuals) when one of the following circumstances exists:

a. required by contract;
b. part of an established educational program in which the costs are included in the educational program fees;
c. participating in research or group educational activities at the University’s request;
d. participating in approved student events or activities;
e. recruiting for the University; or
f. approved by the president, provost, vice president, dean, department chairperson or designated departmental finance representative.

In cases where the payment may be considered a reimbursement of the student’s personal expenses rather than a University business expenses, the reimbursement may be taxable to the student as a non-qualified scholarship. Questions regarding whether a payment may be considered a non-qualified scholarship should be directed to the Controller’s Office.

For non-employee expenses funded by a sponsored grant or contract, the individual incurring the business expense should consult agency guidelines and/or the relevant contract to ensure compliance with agency or sponsor procedures and restriction. Any questions or interpretation of federal or sponsor restrictions should be directed to the designated departmental finance representative who may need to consult with Grant and Contract Accounting.

2. Professional Development
Reasonable expenses incurred in attending professional development programs are considered business expenses. Department supervisors determine who may attend such programs at the University’s expense, subject to budget availability. Supervisors should ensure that the content of the program is of a substantive nature that directly relates to
the employee’s job responsibilities at the University. Supervisors should consult with designated departmental finance representative for budget availability.

Professional organizations can often provide expertise and training that is not available on campus. Program content should be carefully considered in weighing the cost of travel as compared to the benefit to the University.

Travel expenses and fees associated with continuing education credits required to maintain a professional certification that is not directly related to the employee's job responsibilities at the University are not reimbursable business expenses.

3. Memberships, Dues and Subscriptions.
   The University's affiliation with an organization or group is based upon the business benefit to be derived by the University from such affiliation. In the case of certain civic, community, and educational organizations that serve a broader purpose and constituency, the University typically joins as an institutional member and, as such, designates employee representatives. Institutional memberships often provide certain benefits (such as reports, studies, or the like) to the University at large and may also provide news updates and magazines that are routinely sent to a specified number of individual employees on the membership mailing list. Employees who attend meetings or functions as representatives of the University are eligible for reimbursement of travel expenses if approved by their respective departments.

   Fees for individual memberships in business/professional associations as well as fees for magazine, newspaper, or newsletter subscriptions may be reimbursable if appropriate. Vice presidents or deans establish whether these costs will be reimbursed by the University. Individual membership in professional associations or other costs incurred to maintain professional certifications or licenses that are directly related to the employee's job responsibilities at the University and have a clear business benefit to the University may be considered appropriate business expenses.

   The cost of memberships in athletic clubs, faculty clubs, social clubs, shopping clubs, business membership, fraternal orders, or other similar organizations generally do not qualify as business expenses. Employees must pay for these memberships personally, unless there is a clear business benefit to the University and the primary purpose of the membership is to benefit the University. In these instances, the cost must be approved by the president, the provost, the department's dean, a vice-president, or designated departmental finance representative.

4. Miscellaneous Expenses
   Other expenses, including, but not limited to, postage, supplies, photocopying charges, and the like purchased for business use are considered business expenses. The payment for these types of miscellaneous business expenses must also include proper documentation and business justification.
5. Miscellaneous Travel Costs

Other travel expenses may include, but are not limited to:

a. business telephone calls using personal devices while traveling;
b. hotel internet service fees;
c. fees for passports and visas, if specifically obtained in order to perform work on behalf of the University;
d. fees for currency exchanges;
e. necessary laundry and dry cleaning charges after completing five consecutive days of business travel;
f. expenses associated with baggage handling and storage, including excess baggage charges and tips; and
g. phone calls home in a reasonable amount.

All such expenses must be itemized and documented in accordance with this Policy.

6. Personal and Companion/Spousal Business and Travel Expenses

a. General

The University will not pay or reimburse travelers for expenses that are inherently personal in nature. Please refer to the General Overview section of this Policy for examples of items that are personal in nature.

b. Personal Business Conducted During Period of Travel

Personal expenses, as well as any incremental travel costs incurred for personal business during the course of a University business trip, are the responsibility of the traveler. Incremental travel costs include expenses that would not have been incurred on the business portion of the trip, except for the fact that the traveler conducted personal business at some point during the trip.

For example, gas and mileage charges for out-of-the-way travel to visit friends or relatives are personal expenses. Such expenses must be identified and deducted from the expenses reported on the expense report. Expenses for personal gain (e.g., personal consulting) cannot be reimbursed.

Personal expenses may not be charged to University accounts (even if the intention of the traveler or a third party is to later reimburse the University for these expenses). Airline reservations for personal travel made using a University preferred travel agency should be charged to a personal credit card and not billed to a University account.

c. Companion/Spousal Business and Travel Expenses

Expenses incurred for accompanying companions/spouses are considered personal in nature except on occasions when attendance of a companion/spouse at an event
serves a bona fide business purpose for the University and the presence of the companion/spouse is essential (not just beneficial) to the employee being able to carry out the business purpose for the University. In these cases, the business and/or travel expense should be authorized in writing by the president, provost, dean, vice-president, or designated departmental finance representative. The written approval must be submitted with the expense report and must detail the business purpose served by the companion/spouse’s attendance at the event and how the companion/spouse’s presence was essential in carrying out that business purpose.

As these costs are always unallowable as direct or indirect costs for federal reimbursement, these costs must be recorded using an appropriate unallowable object code or function. Likewise, if companion/spousal travel is coordinated with a preferred travel agency and is to be paid for by the University, written approval must be obtained by one of the persons outlined above, and must be submitted with the travel request.

Amounts paid by the University for companion/spousal travel and/or business expenses must be included in the employee's W-2 as taxable wages unless the companion/spouse’s attendance at the event meets the above requirements. Departments should consult the Controller’s Office prior to making commitments to reimburse for companion/spousal travel and/or business expenses as the reimbursement may be taxable to the employee.

**H. RELOCATION OF NEW EMPLOYEES**

1. **General Requirements**
   University departments may, in hiring new employees, agree to pay a portion of the cost of relocating the new employees and their families.

2. **What Will Be Reported on the New Employee’s W-2 for Tax Purposes?**
   Certain types of moving expenses paid or reimbursed by the University must be treated as additional compensation to the employee, subject to both income and employment tax withholding. All reimbursed moving expenses must be reported as taxable income. In any event, the University will treat such expenses in accordance with the applicable IRS regulations in effect at the time they are incurred. Refer to [IIT Policy AP109](#) for further details.

   A department may elect to cover all or a portion of taxable expenses of relocating a new employee; but the new employee should be informed in advance of the move that the payment of these expenses are subject to payroll and tax reporting withholding.
III. PAYMENT OF BUSINESS EXPENSES

A. TRAVEL ADVANCES

1. General
   Since the Procurement Card can be used to purchase airline tickets, conference fees and reserve hotel rooms, the University will authorize advances on a case by case basis only for international travel an upon the approval of the Controller. The University will provide travel advances for employees traveling on authorized University business to cover reasonable miscellaneous costs, such as taxi fares, tips, and other business expenses. Travel advances must not be used to cover personal expenses.

   Each travel advance is the personal obligation of the traveler. Thus, the traveler is responsible for any lost or stolen travel advances (whenever possible, travelers should use hotel vaults to safe keep cash or other valuables). Employees are responsible for submitting an expense report with required receipts to account for the travel advance and for returning the unused balance of the travel advance.

2. Procedures for Obtaining Travel Advances
   Travel advances are not a benefit. Rather, they are a mechanism to support the business needs of University employees when traveling. Requests for travel advances are submitted on the Travel Request Form. Designated departmental finance representative may implement additional processes or limit travel advances.

   Advances will not be granted to employees who have an uncleared prior travel advance unless the president, provost, dean, vice-president, or designated departmental finance representative certifies that extenuating circumstances warrant an additional advance.

   The Controller’s Office may revoke the right to obtain travel advances when the privilege has been abused.

3. Availability of Travel Advances
   Travel advances will generally not be provided earlier than one business week before the planned departure date of the trip unless there are extenuating circumstances or an approved exception.

   Employees must immediately return any travel advance to the Controller’s Office when a trip has been canceled or has been postponed for more than five working days.
If travel advances are greater than the expenses incurred, the traveler must return the remaining balance (by personal check) to the Controller’s Office at the same time the expense report is submitted.

4. **Uncleared Travel Advances (Including Payroll Reporting)**

   The Controller’s Office monitors uncleared travel advances and sends email notifications to travelers if the advance is not cleared within 30 days of travel completion.

   If an individual fails to substantiate the business expenses covered by the travel advance within 90 days after completing the travel (e.g., clearing the advance), the University is required by the IRS to report these payments as taxable income to the employee.

   An employee may not obtain additional travel advances if the employee has uncleared outstanding travel advances.

**B. EXPENSE DOCUMENTATION**

1. **General**

   The primary responsibility for expense documentation rests with the individual requesting reimbursement or incurring the business or travel expenses, as well as the departments and supervisors who are authorizing and approving these business and travel expenses.

   Because University business and travel expenses are subject to audit by government agencies, internal and external auditors and other sponsors, thorough documentation and accounting for expenses is required.

2. **Required Documentation and Receipts**

   All purchases made with grant funds require a receipt regardless of dollar amount or means of payment.

   All individuals requesting reimbursement or incurring business and travel expenses are required to attach original receipts to substantiate their business expenses, except in the case of per diem reimbursements – see **Travel Per Diems – For Employees Only**. However, business and travel expenses paid by the Procurement Card will not require original receipts and a legible copy is acceptable.

   As with any University payment, original documentation is necessary to verify expenditures and eliminate the possibility of duplicate payments. All single expenditures of $75 and greater need to be accompanied by original receipts. In instances where original receipts are not available, a copy may be acceptable when accompanied by a valid explanation. Generally, credit card statements are not sufficient documentation; however, if no other form of receipt can be obtained, the original credit card statement will be accepted, provided a valid explanation accompanies it.
It is not appropriate to round-off amounts or to estimate expenses. In cases of nongrant funded purchases where receipts are not required to be submitted, e.g., highway tolls, tips, or an expense in an amount less than $75, individuals must report the actual amounts of the charges and itemize these expenses.

In the case of airfare not charged directly to a departmental account through a University preferred travel agency, travelers must provide proof of payment.

Meal and restaurant receipts should be itemized and include the name and location of the restaurant, the number of people served and the date and amount of the expense. If alcohol is included in the receipt total, it must be identified and recorded separately from the rest of the meal.

3. Itemizing Expenses
Expenses should be allocated to the proper Banner account number(s) based upon object code/expense type. In addition to segregating unallowable items and omitting non-business expenses, charges on itemized hotel or other bills such as meals, telephone, parking, internet fees, and the like should be broken out and reported separately.

Authorized persons approving business or travel expenses are primarily responsible for enforcing this Policy and, in so doing, must be satisfied that the expenses are appropriate, reasonable, and sufficiently described and documented in a manner consistent with this Policy.

4. Approval Authority
Each department has a defined expense approval hierarchy in the Banner Financial system. This requires that the approver of a business expense must be the individual’s supervisor or someone at a higher level than the supervisor.

No individual is authorized to approve his or her own, a peer's or a supervisor's business or travel expenses. In assigning approvers for expense transactions, bear in mind that an individual must have signing limits/access to the organizations where expense transactions will be charged.

5. Proof of Payment
When requesting reimbursement for travel or business expenses paid via personal check, a copy of the front and back of the check or scanned image may be required to substantiate the expense.
Appendix A

ALLOWABILITY/UNALLOWABILITY OF SELECTED COST ITEMS

The Office of Management and Budget (OMB) has issued new guidance under Title 2 of the Code of Federal Regulations (CFR), which establishes uniform cost principles and audit requirements for all Federal awards to non-Federal entities, and administrative requirements for all Federal grants and cooperative agreements. 2 CFR 200, Subchapter F of this guidance establishes principles for determining the allowable costs incurred by non-Federal entities under Federal awards. Refer to Subchapter F of 2 CFR Part 200 for full detailed information on the allowability or unallowability of cost items.

This guidance is effective as of December 26, 2014.
# Illinois Institute of Technology
## Standards of Ethics and Business Conduct

### MESSAGE FROM THE PRESIDENT

Dear Colleagues:

Our commitment to excellence as an institution extends to all aspects of our educational and research undertakings. As stewards of IIT’s finances, assets and resources, faculty and staff must be diligent to conduct their work consistent with the highest of ethical standards. To that end, it is essential that each of us exercise sound judgment to further the interests of IIT in a fair and responsible manner.

A part of IIT’s commitment to ethics and compliance is to provide faculty and staff with the information needed to act appropriately. As you will see, these Standards of Ethical Business Conduct memorialize the ethical and legal principles that have long governed business dealings by IIT and its faculty and staff. They reflect the values to which IIT has subscribed and will continue to subscribe; they also identify many of the IIT policies and procedures that govern our operations. In short, these Standards provide a framework of acceptable standards of behavior.

These Standards have been reviewed and endorsed by the IIT Board of Trustees. Any comments you may have on these Standards are welcomed. Questions about the applicability of the Standards or the referenced policies and procedures to particular circumstances may be addressed to either Michael Horan, Vice President of Finance, CFO, and Treasurer at (312) 567-3825, or Anthony D. D’Amato, Vice President and General Counsel at (312) 567-8821.

Alan W. Cramb, President
February 2021

(Updated from original publication in November 2008, as revised in June 2010 and January 2018)

The following subject matters are covered in these Standards:
- **Introduction**
- **Ethical Conduct**
- **Respect for Others**
- **Conflict of Interest**
- **Compliance with Laws**
- **Compliance with Policies**
- **Compliance with Contracts**
- **Individual Responsibility**
- **Stewardship of Property & Funds**
- **Confidential Information**
- **Costs & Effort Reporting**
- **Internal Controls**
- **Gifts & Gratuities**
- **Antitrust**
- **Duty to Report**
- **Consequences of Violations**

In addition to these resources, IIT has selected EthicsPoint to provide you with a simple way to report activities that may involve misconduct or violations of IIT policy. You may file a report at [https://secure.ethicspoint.com/domain/en/default_reporter.asp](https://secure.ethicspoint.com/domain/en/default_reporter.asp) or by dialing 866-294-9314. This service is not a substitute for, nor does it supersede, any existing reporting methods or protocols already in place at IIT for reporting suspected problems or complaints. Instead, the EthicsPoint system provides an additional means by which to report such issues. Any suspected problems or complaints reported via EthicsPoint will be reviewed in accordance with current IIT procedures. IIT policy expressly prohibits the taking of retaliatory action against anyone for reporting or inquiring about potential breaches of law or policy or for seeking guidance on how to handle such suspected breaches.
IIT’s mission of advancing knowledge and educating citizens requires all members of the IIT community to share a commitment to excellence, which necessitates that their actions be beyond ethical reproach. The success and reputation of IIT in fulfilling its core mission depend on the integrity with which each individual – whether dean or faculty member, business manager or other staff – participates in this joint endeavor. Ethical business conduct calls for all members of the IIT community to assume personal responsibility for safeguarding and preserving IIT’s assets and resources in the fulfillment of its mission and to comply fully with all applicable laws, policies and contract and grant requirements, as well as with IIT’s own high standards of integrity and quality. Accordingly, each member of the IIT community is expected to adhere to the following Standards of Ethical Business Conduct in all University dealings.

These Standards express the principles that have long governed the business dealings of IIT. They are designed to serve as a useful summary of these well-established principles and to re-emphasize the importance of adhering to them in all business dealings. These Standards are reflected in many individual IIT policies and procedures, whose definitive statements appear elsewhere, such as the Faculty Handbook and the Policies and Procedures Handbook. Web addresses for these related policies and procedures are provided below. In addition to complying with the specific laws, regulations and policies governing their business activities, members of the IIT community should ensure that their conduct is, at all times, guided by standards of fairness, honesty and respect for the rights of others.

Standards

1. **Ethical Conduct.** From a legal, business and public relations perspective, it is imperative to IIT that its faculty and staff should adhere to these Standards and conduct themselves ethically, honestly and with integrity in all matters. They need to be fair and principled in their business interactions and to act in good faith in these matters with all others. They should act with due recognition of their position of trust and loyalty with respect to the University and its students, research sponsors, donors, one another and all others with whom they interact. When in doubt about the propriety of a proposed course of action, they should seek counsel from those colleagues, supervisors or administrators who can assist in determining the appropriate course of action. (IIT Controller's Office Policies and Procedures, [https://web.iit.edu/controller/forms/policies-and-procedures](https://web.iit.edu/controller/forms/policies-and-procedures); Review of Alleged Research Misconduct, [https://web.iit.edu/sites/web/files/departments/general-counsel/faculty_handbook/appendix_1.pdf](https://web.iit.edu/sites/web/files/departments/general-counsel/faculty_handbook/appendix_1.pdf); Federal Sentencing Guidelines, Chapter 8, Part B, Effective Compliance and Ethics Program, [https://www.ussc.gov/guidelines/2018-guidelines-manual/annotated-2018-chapter-8](https://www.ussc.gov/guidelines/2018-guidelines-manual/annotated-2018-chapter-8)).

2. **Respect for Others.** The IIT community is diverse – in race, ethnicity, gender, age, religion, sexual orientation and economic background. The personal actions of each community member establish and maintain the culture of fairness, tolerance and respect for which IIT strives. Although the principles of free speech and expression remain paramount at IIT, faculty and staff should respect the rights and dignity of others regardless of their differences, and they must conscientiously abide by the principles of Non-discrimination adopted by the University. Harassment or discrimination along sexual, racial, ethnic, religious, sexual orientation, economic or political lines has no place at IIT. (IIT Diversity Statement, [https://www.iit.edu/diversity](https://www.iit.edu/diversity); Policies and Procedures Handbook: Use of Computer Resources, [https://web.iit.edu/sites/web/files/departments/general-counsel/policies/procedure_q3_use_of_technology_resources.pdf](https://web.iit.edu/sites/web/files/departments/general-counsel/policies/procedure_q3_use_of_technology_resources.pdf); Policy No. A 1.00 Equal Opportunity and Affirmative Action and Policy No. E. 2.00, Human Resources Policies &
3. **Conflicts of Interest.** As more fully stated in the IIT Conflict of Interest and Conflict of Commitment Policy, IIT faculty and staff must avoid improper conflicts of interest in conducting their work at the University. Financial conflicts of interest must be disclosed, reviewed and appropriately managed or eliminated. Faculty and staff should demonstrate sensitivity in identifying potential conflicts of interest, whether they are financial, personal or professional, and they must follow the reporting and other provisions of applicable University policies. (Conflict of Interest and Conflict of Commitment Policy, [http://web.iit.edu/sites/web/files/departments/general-counsel/policies/procedure_p1_conflict_of_interest_policy_administrator_noni.pdf](http://web.iit.edu/sites/web/files/departments/general-counsel/policies/procedure_p1_conflict_of_interest_policy_administrator_noni.pdf); Policy No. A 5.00 Employment of Relatives, Human Resources Policies & Procedures, which Policies and Procedures are only accessible by clicking on the designated link posted on the Work Tab page after logging into myIIT at [https://my.iit.edu/](https://my.iit.edu/)

4. **Compliance with Applicable Laws and Regulations.** IIT operates in a heavily regulated environment. Compliance with laws and regulations, whether federal, state or local, is essential. Members of the IIT faculty and staff should recognize that non-compliance can have severe adverse financial and other consequences, potentially affecting the reputation and operations of the entire University. Faculty and staff members must comply with all laws and regulations applicable to the performance of their responsibilities at the University. All have a duty to inform themselves, through University sources and independently, about relevant legal obligations and to keep current with changes thereto. If a doubt arises as to the interpretation of an applicable law, faculty and staff should seek advice from the Office of General Counsel. (General information on laws and regulations that members of the faculty and staff may encounter can be found on the webpage of the Office of General Counsel, [https://web.iit.edu/general-counsel/resources/additional-resources](https://web.iit.edu/general-counsel/resources/additional-resources); the webpage of the Office of Sponsored Research & Programs, [https://research.iit.edu/osrp](https://research.iit.edu/osrp); the webpage of the Office of Compliance & Proposal Development, [https://research.iit.edu/orcpd](https://research.iit.edu/orcpd).

5. **Compliance with Applicable University Policies and Procedures.** The University has established policies and procedures for managing its business and other operations. Some are required by law, and some are simply sound business practice. All are designed to ensure efficient and coordinated business operations. IIT faculty and staff are expected to inform themselves about and comply with applicable University policies and procedures. (Accounting & Finance Policies, Procedures and Forms, [https://web.iit.edu/controller/forms/policies-and-procedures](https://web.iit.edu/controller/forms/policies-and-procedures); Faculty Handbook, [https://web.iit.edu/general-counsel/faculty-handbook](https://web.iit.edu/general-counsel/faculty-handbook); Policies and Procedures Handbook, [https://web.iit.edu/general-counsel/resources/policies-and-procedures](https://web.iit.edu/general-counsel/resources/policies-and-procedures); Project Accounting Policies, [https://web.iit.edu/gca/forms/policies-and-procedures](https://web.iit.edu/gca/forms/policies-and-procedures); Office of Sponsored Research and Programs Forms, Policies, and Procedures, [https://research.iit.edu/osrp/policies-and-procedures](https://research.iit.edu/osrp/policies-and-procedures); Office of Compliance & Proposal Development Compliance and Ethics Guideline, [https://research.iit.edu/orcpd](https://research.iit.edu/orcpd); Safety Committee Reports, [https://web.iit.edu/general-counsel/resources/safety-committee-reports](https://web.iit.edu/general-counsel/resources/safety-committee-reports); Human Resources Policies and Procedures Handbook, of which Policies and Procedures are only accessible by clicking on the designated link posted on the Work Tab page after logging into myIIT at [https://my.iit.edu/](https://my.iit.edu/)

6. **Compliance with Contractual, Grant and Other Obligations.** In the course of its operations, IIT frequently undertakes contractual and other formal obligations to outside entities. These obligations are embodied, for example, in contracts for the purchase of goods or services, software licenses, gift indentures and memoranda of understanding with other organizations. As applicable, members of the IIT faculty and staff are expected to familiarize themselves with the terms and provisions of such obligations, and they are expected to adhere to and act in good faith with regard to all such obligations. If a question arises in connection with any such an obligation, they should seek advice from a supervisor, administrator or the Office of General Counsel. Only
7. **Individual Responsibility and Accountability.** Members of the IIT faculty and staff should assume and exercise responsibility appropriate to their positions and roles. They are accountable to each other and to the University for their actions and their decision not to act. They should make sure that their actions and decisions foster a secure and pleasant work environment. When roles or responsibilities are unclear, they should take it upon themselves to obtain clarity. They should exercise, to the best of their ability, sound business judgment in the performance of their duties. Ultimately, each individual is expected to assume responsibility and accountability for understanding relevant laws, regulations, policies and procedures and contractual requirements and for conducting himself or herself in a manner that is honest, fair and respectful of others.

8. **Stewardship of Property and Funds.** As stewards of IIT property and funds with a responsibility to University contributors, including federal, state, and local governments, IIT faculty and staff should treat University property with care, as if it were their own property, and they must expend funds prudently. They should avoid waste and improper use, and they should not use University funds, property or facilities for their personal benefit or for the benefit of a non-University organization without proper approval. Their acts should reflect the special obligation to use University property responsibly and consistent with the tax-exempt status conferred on IIT in light of its educational and research mission. (Accounting & Finance Policies, Procedures and Forms [https://web.iit.edu/controller/forms/policies-and-procedures]; Grant and Contract Accounting, Policies and Procedures, [https://web.iit.edu/gca/forms/policies-and-procedures]; Policies and Procedures Handbook: Title to Research Equipment and Policies Related to Transfer [https://web.iit.edu/sites/web/files/departments/general-counsel/policies/procedure_f3_title_research_equipment_policies_transfers_policies.pdf]; Policies and Procedures Handbook: Authority for Negotiation and Approval of Contracts, [https://web.iit.edu/sites/web/files/departments/general-counsel/policies/authority-negotiation-approval-contracts.pdf]; Policies and Procedures Handbook: Use of Computer Resources, [https://web.iit.edu/sites/web/files/departments/general-counsel/policies/procedure_q3_use_of_technology_resources.pdf]; Policy No. E 1.00 Employment Conduct and Responsibilities, Human Resources Policies & Procedures, which Policies and Procedures are only accessible by clicking on the designated link posted on the Work Tab page after logging into myIIT at [https://my.iit.edu/].)

9. **Appropriate Treatment of Confidential Information.** In their various capacities, IIT faculty and staff become privy to many different types of confidential information. Such information may concern students, patients, employees, sponsors or other outside parties. For example, it may be proprietary information of an enterprise licensing IIT intellectual, a social security number of an employee or information that is subject to contractual or legislated obligations of confidentiality, such as those imposed by the Family Educational Rights and Privacy Act (student educational records) or the Gramm-Leach-Bliley Act (financial information). Members of the IIT faculty and staff are expected to inform themselves about such applicable obligations, to maintain the confidentiality of such information, to take reasonable steps to safeguard it and to use it only in accordance with applicable restrictions. (FERPA at IIT, [https://web.iit.edu/registrar/ferpa]; Policies and Procedures Handbook: Records and E-mail Retention, [https://web.iit.edu/sites/web/files/departments/general-counsel/policies/procedure_q4_record_retention.pdf]; Security Policy for Financial Information, [https://web.iit.edu/sites/web/files/departments/general-counsel/policies/procedure_i2_information_security_program.pdf]; Policy No. E 1.00 Employment Conduct and Responsibilities, Human Resources Policies & Procedures, which
Policies and Procedures are only accessible by clicking on the designated link posted on the Work Tab page after logging into myIIT at https://my.iit.edu/.

10. **Recording, Allocating, and Charging Costs and Effort.** The accuracy and reliability of financial and effort reports is of paramount importance to the business operations of the University. In accordance with applicable grant and sponsored research requirements as well as IIT payroll policies, members of the IIT faculty and staff must record, allocate and charge costs and effort accurately and maintain supporting documentation as required by established policies and procedures. All accounts, financial reports, tax returns, expense reimbursements, time sheets and other documents must be accurate, clear and complete, and all entries in University books and records, including departmental accounts and individual expense reports, must accurately reflect each transaction. (Payroll Policies and Procedures, https://web.iit.edu/payroll/policies-and-procedures, Effort Reporting Manual, https://web.iit.edu/sites/web/files/departments/finance/images/Time%20and%20Effort%20Reporting%20Manual%20-%20Revised%2012.19.2014.pdf.)

11. **Internal Controls.** Internal controls provide the keystone of sound business practices. These controls include adequate segregation of duties, diligent application of preventive control systems, methodologies for the detection of wrongdoing and conscientious compliance with authorization, reporting and other established processed. IIT has established internal controls to ensure efficient operations, responsible financial management, accurate financial reporting, careful protection of assets and satisfactory compliance with applicable laws and regulations. Therefore, members of the IIT faculty and staff are expected to maintain, follow and support the internal controls structures that the University establishes.

12. **Gifts and Gratuities.** Relationships between IIT and its vendors must be free of any taint of impropriety or favoritism. Members of the IIT faculty and staff should not personally accept any material, as defined in the policy below, gift, gratuity or other payment, in cash or in kind, from any party seeking to do business with IIT or currently doing business with IIT. If questions arise about the materiality of a proposed gift or gratuity, the proposed recipient should seek advice from the Office of General Counsel. (Policies and Procedures Handbooks: Prohibition on the Acceptance of Gifts, https://web.iit.edu/sites/web/files/departments/general-counsel/policies/procedure_p3_prohibition_on_the_acceptance_of_gifts.pdf.)

13. **Antitrust.** Like other economic enterprises, colleges and universities are subject to federal and state antitrust laws, which are aimed at protecting competition. For this reason, IIT faculty and staff should avoid agreements or exchanges of information with other colleges and universities that adversely affect economic competition between institutions. IIT faculty and staff should never enter into agreements with other colleges or universities regarding future tuition, fees, financial aid or salary levels. In addition, it is ordinarily inadvisable to disclose or exchange future plans or projections concerning these subjects with other colleges or universities. IIT faculty and staff also should not participate in surveys concerning these matters unless the survey seeks public information or information that is historical in nature. IIT faculty and staff who have affiliations with other colleges and universities (such as serving on the board of trustees of another institution) should not disclose IIT’s non-public business information to the other institution, or vice versa.

14. **Obligation to Report Suspected Material Violations.** IIT’s policy is to investigate allegations of misconduct or wrongdoing, and under no circumstances is retaliatory action to be taken against an individual reporting any such violation. IIT faculty and staff are strongly encouraged to report suspected material violations of these Standards, laws and regulations or related University policies and procedures. Depending upon its nature, a suspected violation can be reported to a
supervisor, a dean, the Controller, the Vice President of Finance, CFO, and Treasurer or the General Counsel. Violations can also be reported anonymously through EthicsPoint. (See https://web.iit.edu/general-counsel/ethicspoint.) Individuals charged with supervising others at IIT should do so actively, making sure that they receive adequate training with respect to their duties and meet their obligations under these Standards. Supervisors are expected to take appropriate disciplinary action to address non-compliance. (Policies and Procedures Handbook: Investigations and Complaints, https://web.iit.edu/sites/web/files/departments/general-counsel/policies/procedure_p4_investigations_and_complaints.pdf.)

15. **Consequences of Violation.** Each individual is responsible for ensuring that his or her own conduct and the conduct of anyone reporting to him or her fully complies with these Standards and all applicable laws and regulations as well as related University policies and procedures. Violations may result in the taking of appropriate disciplinary action, up to and including discharge from employment. Disciplinary action will be taken in accordance with the procedures applicable to faculty or staff, as the case may be. Certain conduct that violates these Standards may, in some circumstances, also subject the individual to civil or criminal changes and penalties.
Support Services for University Activities

A. Libraries

1. General Description

IIT libraries are pivotal to the university’s objectives and to its commitment to excellence in teaching and research. Access by all faculty to library resources and services is critical to the quality of teaching and to the research efforts of the faculty. Although the libraries on the four campuses have been developed to meet the particular requirements of each campus, it is specifically recognized that together they form the IIT Library System. All IIT faculty have equal access to the services and resources of all libraries within the Library System. In implementing this equal access policy, campus libraries may require faculty members to follow procedures that are necessary for the efficient operation of the library. All university libraries work together cooperatively.

IIT meets its community’s information needs through six libraries. These are the Paul V. Galvin Library, which serves as the main library; the Graham Resource Center (GRC); the Louis W. Biegler Library; the Center for the Study of Ethics in the Professions Library; the Institute for Food Safety and Health Library; and the Downtown Campus Library.

Each of the libraries covers one or more areas of knowledge, houses an array of special materials, and offers multiple services related to the disciplines it covers. The libraries’ physical presences are significantly enhanced by their online presences, which provide remote, uninterrupted access to many services and collections.

2. The Paul V. Galvin Library

The Paul V. Galvin Library is the university’s resource for scholarly and research materials in the areas of engineering, science, business, the social sciences, humanities, psychology, architecture, and the arts. As the university’s main library, Galvin Library combines cutting-edge information technology with traditional library services. The library’s holdings represent more than 1.1 million volumes, including books, journals, government publications, and microforms.

Digital services provide 24-hour internet access to more than 100 electronic databases indexing millions of journal articles; over 25,000 full-text electronic journals; electronic course reserves; and I-Share, a statewide resource sharing consortium of more than 75 academic libraries. Galvin Library also provides web-based delivery of a variety of materials, including documents requested via interlibrary loan. The library’s instruction program serves the IIT community by teaching skills needed to locate, retrieve, and evaluate information. Library instructors teach at all levels from introductory to advanced and cover a broad range of all types of information and retrieval techniques. Library workshops are offered regularly throughout the semester or can be specifically tailored for a course or program by library subject specialists.
3. **Graham Resource Center**  
The Graham Resource Center (GRC), a branch of Galvin Library, is responsible for supporting the curriculum goals and educational aims of the College of Architecture (CoA) as well as meeting all of the CoA's library-related needs. This includes acquiring, preserving, and providing access to materials in myriad formats to CoA students, faculty, and staff with a focus in Architecture, Landscape Architecture, City Planning, and related disciplines. Library staff provide reference and research services to all GRC and Architecture researchers and users; the GRC is committed to promoting information literacy, and to that end works with faculty to provide curriculum-based instruction in the classroom, which can be arranged directly with GRC librarians.

4. **Louis W. Biegler Library (Rice Campus)**  
The Louis W. Biegler Library contains the Alva C. Todd collection of electrical engineering materials; it also specializes in electronic access to information.

5. **Center for the Study of Ethics in the Professions**  
The Center for the Study of Ethics in the Professions Library contains a variety of materials dealing with topics in practical and professional ethics, especially in the areas of science and engineering ethics and related areas of business. These include an extensive collection of codes of ethics, an online collection of ethics case studies, books, professional journals, newsletters, and bibliographies.

6. **Institute for Food Safety and Health Library**  
The primary mission of the Institute for Food Safety and Health Library is to support the educational, teaching, and research needs of those individuals affiliated with the Institute for Food Safety and Health (IFSH). This includes graduate students connected with the Master's Degree Programs in Food Safety and Food Process Engineering, and faculty and staff members conducting current food science research. The collections of the IFSH Library are composed of over 5500 monographs, 130 print journal titles, and over 5,500 volumes of material produced by the Food and Agricultural Organization of the United Nations. The IFSH Library is a full-service library providing reference, research, and interlibrary loan services to all those connected with IFSH.

7. **Downtown Campus Library**  
The Library at the Downtown Campus contains more than 500,000 volumes and encompasses the libraries of both the Chicago-Kent College of Law and the Stuart School of Business. These libraries consist of an outstanding collection of materials relating to law, business, international relations, and the social sciences.

The Downtown Campus Library seats nearly 500 persons and includes copier rooms, microform facilities, and eleven group study rooms. Network access is possible wirelessly or by means of the many network drops available throughout the library. The collections are accessible via information in the online catalog, as well as through the Directory of Online Resources on the library's Web page. Faculty, students, and staff of the
Downtown Campus have access to the online resources wherever they are via a proxy server that is available 24 hours a day.

Arranged in open stacks, the library contains legal materials from all jurisdictions in the United States and from many other parts of the world. It is a depository for U.S. government publications, including materials of the U.S. Congress, the federal courts, and many executive branch agencies.

The law school’s library is enriched by a special collection, the Library of International Relations, which includes treaties, serials, monographs on international relations, and other international materials. The library is a depository both for publications of the United Nations and its affiliated organizations, and of the European Union, and it contains a large collection of international reference materials in the social sciences.

The business school library is notable for its collections of electronic research materials and information on financial markets and trading. It also has growing collections of materials on marketing, operations management, and information systems management.

The public services staff of the Downtown Campus Library are well trained to serve the legal and business information needs of the IIT community. Reference librarians provide tours of the collections and instruction in law- and business-related research through formal classroom instruction. They also are available to the faculty at all IIT campuses to provide specialized class-specific research and reference training in classroom presentations; to student research assistants; and to others at IIT.

B. Graduate College Research Support Services

Two offices in the Graduate College support IIT’s research and sponsored programs enterprise by offering services to faculty: the Office of Sponsored Research and Programs (OSRP) and the Office of Research Compliance and Proposal Development (ORCPD). Together, the two offices are known as Research Support Services. Information regarding the services of these two offices is available online and is also published in a weekly electronic bulletin, Research News, including administrative announcements, information regarding grant opportunities, and deadline reminders.

1. The Office of Sponsored Research and Programs (OSRP)

This office processes all federal and non-federal grant and contract proposals and awards, reviews and negotiates contracts, and assures compliance with all applicable agency rules and regulations. The staff answers technical queries about procedures, budgets, application deadlines, and funding agency personnel. Procedures for preparation of proposals for sponsored projects differ from agency to agency and should be discussed with the OSRP staff.

A grant made by an external sponsor as a result of a proposal submitted by IIT is a grant to the university. Grants can be for activities other than research, such as educational
projects, service agreements, or the like. IIT Grant and Contract Accounting provides information on the criteria for determining the difference between a grant and a gift at [http://www.iit.edu/grant_contract_accounting/sponsored_project_expenditures.shtml](http://www.iit.edu/grant_contract_accounting/sponsored_project_expenditures.shtml).

Supervision of the professional conduct of the project is the direct responsibility of the Vice Provost for Research. The principal investigator (PI) or project director will usually be a full-time member of the faculty of the university holding the rank of assistant professor or higher at the time of submission of the proposal. Faculty members who hold research, adjunct or emeritus appointments may also serve as PIs. There must be a reasonable expectation that the principal investigator will remain in faculty status throughout the duration of the proposed project. A staff member who holds expertise in the field of the research may be a PI with prior approval from the Vice Provost for Research.

More information on OSRP is available online on the OSRP web site at [http://www.iit.edu/research/services/sponsored_research/](http://www.iit.edu/research/services/sponsored_research/).

2. **The Office of Research Compliance and Proposal Development (ORCPD)**

In general, ORCPD’s compliance mission is to implement an effective and efficient compliance oversight program that supports faculty research while complying with the law. Numerous federal regulations and guidelines govern these areas, and ORCPD is responsible for staying abreast of changes in these rules. Specifically, ORCPD enforces research compliance for projects involving human subjects, animal subjects, recombinant DNA, and biologically hazardous materials. The office also works to ensure compliance with research ethics training regulations mandatory for students working on some federal research, and administers a short course in the campus Blackboard system, “Responsible Conduct of Research.”

Three committees, each chaired by a faculty member, oversee research compliance. These are the Institutional Review Board for the protection of human subjects (IRB), the Institutional Animal Care and Use Committee (IACUC), and the Institutional Biosafety Committee (IBC). As part of its compliance mission ORCPD inspects animal and biosafety laboratories, issues project approvals and receives progress reports. The ORCPD Director also investigates adverse events involving research subjects and implements suspensions of research projects when necessary. In order to foster an efficient compliance program, ORCPD strives to ensure effective communication among other campus units. The ORCPD Director serves on the campus wide Safety Committee, and a representative from IIT Facilities Department serves on the two ORCPD committees involving physical plant resources (IBC and IACUC). Because a number of IIT students volunteer as human research subjects, a nurse practitioner from Student Health Services serves on the IRB. These and other liaisons help ensure cohesiveness of the Graduate College’s research compliance program.
ORCPD provides proposal development for faculty. This includes providing editorial and writing assistance for research grant proposals, with suggestions to ensure that the narrative and abstract fully address the sponsor’s specifications and intent. The office also can provide documentation on IIT resources, facilities, and policies. Workshops for faculty on fund searching and proposal writing are offered. These workshops are done in collaboration with Galvin Library, and a librarian demonstrates how to use library resources to strengthen a proposal by showing a knowledge of the published work in a research field. Assistance with resubmitting rejected proposals is also available.

For complete information on the services of ORCPD, please visit [http://www.iit.edu/research/services/orcpd/](http://www.iit.edu/research/services/orcpd/).

C. Office of Technology Services

The Office of Technology Services (OTS) supports IIT’s mission by improving the accessibility, availability and reliability of IIT’s technology infrastructure and services, enabling members of the university community to achieve their full potential in learning, teaching and research.

OTS provides this support through management of the university’s primary technology infrastructure and systems, including academic and administrative software systems, myIIT, network, telephone infrastructure, voice mail, classroom technology (AV), academic computer labs/classrooms and technology support desk.

OTS departments include a Project Management Office, Enterprise Systems, Technology Infrastructure, Technology Support and Telecommunications.

Wireless coverage is provided by OTS in all Main Campus buildings. IIT’s current Wi-Fi coverage can be found on the OTS web site. OTS also manages all campus network and telecommunications services, including network equipment, building wiring, security tools and IP addresses.

OTS operates two data centers, one of which the TBC datacenter is dedicated to hosting IIT’s faculty research servers, providing quality infrastructure for this ever expanding activity.

OTS manages the myIIT web portal ([http://my.iit.edu](http://my.iit.edu)), which provides personalized access to email, course schedules and grading, Blackboard, OTS support desk tools, web links and other content.

The Blackboard system is IIT’s course management system that instructors use to post lectures, notes and other supplemental class materials. Faculty can also use it to assign course work, administer quizzes and share assignment and midterm grades. Blackboard also provides a place for students to submit completed assignments electronically and share information within teams and groups.
There are over 450 OTS-managed computers in classrooms, labs and public areas throughout Main, Stuart and Rice campuses. The classrooms are used for both academic courses and IIT-organized events. To ensure that students have access to equipment that supports their academic goals, the computers in the classrooms and labs are refreshed every three years. Printers are also available in OTS labs and at stand alone printing stations throughout Main Campus.

The OTS support desk is the central point of contact for technology support at IIT. OTS staff provide technical troubleshooting and administrative support for all students, faculty and staff. The support desk knowledge base is available to all clients and includes how-to and self-help information for common technical issues and questions.

The weekly technology maintenance window is Friday, 9:30 pm through Saturday, 8 am. During this time, some IIT technical services may be unavailable.

Up-to-date information on all these services and additional details about other services such as e-mail, computer purchasing and software licensing, is available on the OTS website: [http://www.iit.edu/ots](http://www.iit.edu/ots).

D. Bookstores
Complete lines of textbooks, supplies, and general merchandise are offered in bookstores on the Main Campus and at the Downtown Campus. The Main Campus bookstore is located in the McCormick Tribune Campus Center and the Downtown Campus bookstore is located on the concourse level of the Downtown Campus.

To assist the bookstore in making available to students the textbooks and supplies required for courses on the Main Campus, department liaisons are responsible for requisitioning materials according to procedures outlined by the bookstore each semester. The bookstore’s Main Campus extension is 73120 and the Downtown Campus extension is 65605.

E. Office of Marketing and Communications
The Office of Marketing and Communications provides integrated, strategic, data-driven information solutions for the IIT community. The following services are offered to academic and administrative units: creative/design, public relations, social media, media relations, marketing strategy development and implementation, and copywriting. The Office of Marketing and Communications is also responsible for the design and content of IIT’s Web site.
Communications

It is university policy to keep the student body, staff, faculty, alumni, friends, supporters and the general public informed of institution-based events, activities, and policies. The primary source of information is the IIT Web site: www.iit.edu. The university also disseminates information in other ways, including but not limited to:

A. **Bulletins**
   The university publishes bulletins for undergraduate and graduate programs that provide information related to academic advising, such as synopses of curricula, course descriptions, and lists of academic offices and faculty members.

B. **Class Schedules**
   Before the registration period for each semester and summer session, a *Schedule of Classes* is issued that lists courses to be offered.

C. **Faculty Handbook**
   The Faculty Handbook is available on line at [http://www.iit.edu/general_counsel/policies/faculty_handbook/](http://www.iit.edu/general_counsel/policies/faculty_handbook/)

D. **IIT Today**
   IIT Today is an electronic bulletin board available online to the IIT community that lists events and activities at the university as well as news of interest.

E. **IIT Magazine**
   The IIT Magazine is published throughout the year and distributed to alumni and friends of the university.

F. **The Graduate Connection**
   This newsletter, which is published throughout the year by the Graduate College, provides news and information about graduate programs and research. It is disseminated to a broad audience of current and prospective students, alumni, and local businesses and industries.

G. **Human Resources' Policies and Procedures Manual**
   Issued by the Office of Human Resources, this manual contains benefits information that applies to all employees and policies and procedures that apply only to non-academic staff. This manual is only available in the Human Resources' portal site of myIIT, which can be found on the Work tab in the Human Resources Announcements channel.

H. **Tech News**
   Written and edited by IIT students, Tech News is published during the academic year. An advisory board supervises the operation of the university's student newspaper.

I. **Kent Commentator**
   The student newspaper at Chicago-Kent College of Law is published several times a year.
J. Policies and Procedures Handbook
The university periodically issues statements of policy or procedure initiated by appropriate administrative officers. These statements are distributed to all administrative and academic departments for incorporation into the Policies and Procedures Handbook kept in each department and available online at http://www.iit.edu/general_counsel/policies/.

K. Safety Committee Reports
The university’s safety policies and procedures, including without limitation, those related to laboratory safety, laboratory training, chemical hygiene, and contractor safety are available at www.iit.edu/general_counsel/safety_committee_reports.shtml.

L. Student Handbooks
For both undergraduate and graduate students, the IIT Student Handbook, organized and published by the Office of Student Affairs, describes general university regulations and requirements, lists the services and assistance available to students, and provides general information not included in the bulletins. A separate student handbook is published for Chicago-Kent College of Law.

M. IIT Alert
In the case of a campus emergency, students, faculty and staff are notified via IIT Alert. Updates are provided as appropriate and necessary to ensure public safety.

N. The Chicago-Kent Alumni Magazine
The Chicago-Kent alumnae/i magazine is published by the law school’s Office of Public Affairs. It contains news of Chicago-Kent students, programs, and events; faculty and alumnae/i profiles; and a “Class Notes” section detailing the activities of alumnae/i class by class. The magazine is mailed to more than 9,000 Chicago-Kent graduates.

O. Directory
The IIT Telephone Directory lists the name, title, department, campus extension, fax number, and e-mail address of each IIT faculty and staff member. It is available at http://phonebook.iit.edu/.
Auxiliary Activities and Services

A. Mail Services
OcÉ Business Services provides mail services in the McCormick Tribune Campus Center for the convenience of students and IIT personnel on the Main Campus. It is open Monday through Friday. Unsealed outgoing university mail should be presented at the window for stamping on the meter machine; campus and outgoing stamped mail should be deposited in the designated slots. Pick-up and delivery service is provided to most university departments and offices. Mail services include USPS and UPS express mail services.

OcÉ Business Services also provides IIT departments and student organizations with printing and copying services at the Mail and Copy Center in the McCormick Tribune Campus Center and the copy center in the basement of Perlstein Hall.

Faculty members, staff, and students may pay for these services by cash or by authorized academic unit charges. Suggestions for preparing materials for reproduction and a full explanation of services offered may be obtained by consulting Office Services at extension 73068.

B. Meeting and Program Facilities
The McCormick Tribune Campus Center acts as a community center for the university, particularly on the Main Campus. It has facilities for special meetings, symposia, lectures, conferences, and social activities. Catered meals and reception services are also available to IIT organizations and groups by calling Campus Catering office, extension 75251 or emailing catering@iit.edu. All reservations and arrangements can be made through the McCormick Tribune Campus Center, including requests for the use of space in other campus buildings. The personnel of the McCormick Tribune Campus Center can also assist in planning events. Call extension 73077 or email to reservations@iit.edu.

In addition to housing available during the academic year, Housing & Residential Services offers conference housing during the summer months. Conference reservations should be booked well in advance.

Information regarding available housing types, floor plans, rates and contract terms are available online at: http://iit.edu/housing/.
IIT Accommodations and Amenities

A. Main Campus Housing & Residential Services
The university maintains campus housing for the use of undergraduate and graduate students. Campus housing includes both traditional residence hall style housing and apartments. Housing is available during the academic year and summer session. Properties include: McCormick Student Village, State Street Village, Carman Hall, Gunsaulus Hall, ASA Sorority, Kappa Sorority, Bailey Hall (closed for renovation) and Cunningham Hall (closed for renovation).

In addition to housing available during the academic year, Housing & Residential Services offers conference housing during the summer months. Conference reservations should be booked well in advance.

Information regarding available housing types, floor plans, rates and contract terms are available online at: http://iit.edu/housing/.

B. Food Services

1. The Pritzker Club
   The restaurant is open to the IIT community. IIT faculty and staff may have their meals charged against their payroll checks. The restaurant is open Monday through Friday from 11 a.m. to 2 p.m. Groups from two to twenty can reserve one of the three private dining rooms by calling the Pritzker-Club at extension 73070.

2. McCormick Tribune Campus Center Court Grill
   The McCormick Tribune Campus Center Court Grill serves the entire university community. The Grill is open for lunch Monday through Friday from 11 a.m. to 2 p.m. and again Sunday through Wednesday for late night dining from 7-11 p.m.

3. Einstein Brothers Bagels
   This bagel outlet is located on the first floor of Hermann Hall and serves breakfast and lunch Monday through Friday.

4. The Commons
   Offering a large variety for residential diners, this location is also open to the university community. Open for breakfast, lunch, and dinner, this dining location offers great variety and the occasional themed "Uncommon Day."

5. The Bog
   Open Thursday and Friday from 5 p.m. to 1 a.m., this campus pub serves beer, wine, a specialty drink, and bar foods. Bowling, ping pong, pool, video games, and darts are available.
6. **10West**
Open for breakfast and lunch, 10West is located in the IIT Tower at 35th and State.

7. **Global Grounds**
Global Grounds, an international coffee shop, is open in the McCormick Tribune Campus Center from early morning to late night seven days a week, selling a variety of teas, coffees, pastries, and other snacks from around the world. IPRO, IIT Dining, and Crop to Cup all work together in a creative partnership at Global Grounds.

8. **Catering Services**
Campus Catering provides catering service seven days a week anywhere on campus, including the McCormick Tribune Campus Center and Hermann Hall. Contact Campus Catering at extension 75251 or email catering@iit.edu. For a full list of food services, visit [http://dining.iit.edu/index.html](http://dining.iit.edu/index.html).

9. **The Michael and Marsha Spak “Spakateria”**
The Michael and Marsha Spak “Spakateria” is located on the third floor of the Downtown Campus. The Spakateria is a full-service cafeteria with daily menu items that include soups, a salad and deli bar, made-to-order grilled items, and daily entrees. The hours are 8 a.m. to 8 p.m., Monday through Thursday, and 8 a.m. to 6 p.m., Friday. Vending machines and microwave ovens also are available and are located on the second and third floors of the cafeteria.

C. **Athletic Activities**
Opportunities are available for staff members to participate in various athletic activities. Included are such sports as softball, handball, gymnastics, swimming, skiing, golf, and tennis. Notices and bulletins of current activities are posted on campus. The Keating facility schedule, including hours of operation, is available on line at the Athletics web site. For more information contact the Athletic Director at extension 73298.

D. **Security Services and Safety Regulations**

1. **Public Safety**
Public Safety officers protect students, faculty, staff, visitors, and property at IIT. Their duties include rendering assistance in the event of accident, fire, flood, personal injury, riot, or other disaster; conducting any investigation the administration may require; aiding in quelling any disturbances; and providing escort service. They are required to enforce university regulations, including those pertaining to proper use of buildings and grounds, and other printed rules of the university. Special notices for contacting the Public Safety Department are posted on campus and in the residence halls. The Public Safety Department may be reached at extension 86300.
2. **Safety Regulations**
   Staff members should be thoroughly familiar with all equipment and operations under their control and should insist that accepted standards of safety are maintained. Absence of adequate safeguards or any other condition that may endanger life or property should be reported to the appropriate department head or supervisor.

3. **Smoking**
   The IIT campuses are smoke free. Smoking is not permitted in any building on any campus except in designated outside smoking areas.

4. **Fire Regulations**
   Every member of the staff is urged to take every possible precaution to prevent fires. In case of fire call the Public Safety Department at extension 86363 and identify the building and floor. Do not hang up immediately, but stand by to repeat information or to answer questions. Once this is done, the individual should leave the room or area and pull the red alarm box located on the walls near stairs and building exits.

E. **Photo Identification Cards**
   Every IIT employee is issued a photo identification card to provide positive identification for cashing checks and for using IIT facilities. Main Campus faculty can obtain identification cards at the Access, Card, and Parking Services Office located on the second floor of Hermann Hall. Downtown Campus faculty can obtain identification cards in the Registrar’s Office, Room 220. If an employee’s identification card has become obsolete due to name change or some other reason, a new card will be prepared at no cost. Lost identification cards will be replaced upon payment of a fee.

F. **Conveniences Available**

1. **7-Eleven**
   A 7-Eleven is located in the McCormick Tribune Campus Center. It is open 24 hours a day, seven days a week.

2. **Campus Information Center**
   The Campus Information Center (CIC), located in the McCormick Tribune Campus Center, is the central location for information. Staff are available 8 a.m. to midnight daily to answer questions about campus activities, provide campus phone numbers, give directions for locations on campus and in Chicago, and assist with information about public transportation. Discounted movie tickets are available for purchase by the campus community, and recreational equipment is available to borrow with an IIT ID. The phone number to the CIC is extension 73700.
3. **ATMs**

Twenty-four-hour automatic teller machines are located in the McCormick Tribune Campus Center, the HUB, in the lobby of IIT Tower, and on the second floor of the Downtown Campus building. There is also 24-hour access to an ATM in the 7-Eleven in the McCormick Tribune Campus Center.

4. **Cashier**

The Cashier's Office is open from 8:30 a.m. to 4:30 p.m., Monday through Friday, on the Main Campus in the Student Services Center, Room 104 Main Building. A cashier is also available at the Downtown Campus, 565 W. Adams, Suite 290, Monday-Thursday, 10 am – 6 p.m., and Friday, 9 a.m. – 5 p.m. (closed for lunch each day from 1-2 p.m.).

5. **Bursar**

The Bursar's Office is open from 8:30 a.m. to 5 p.m., Monday through Friday, on the Main Campus, Room 205 Main Building. A bursar's office is also located on the second floor of the Downtown Campus building. The Bursar's Office facilitates all interactions that affect a student's experience as it relates to the student's account.

6. **Payroll**

The Payroll Office is open from 8:30 a.m. to 5 p.m., Monday through Friday, on the Main Campus, 205 Main Building.

7. **Accounts Payable**

Accounts Payable is open from 8:30 a.m. to 5 p.m., Monday through Friday, on the Main Campus, 201 Main building. Checks are printed on Mondays and Thursdays and are held 24 hours before mailing. Accounts Payable can provide information related to the progress of payments such as check number, printed date, and mailing date.

8. **Community Development**

The Office of Community Affairs and Outreach Programs at extension 78850 works to strengthen IIT's effectiveness in its surrounding neighborhoods, create mutually beneficial opportunities and leverage the university's student, faculty, staff and facility resources to help achieve community development goals in partnership with community organizations, institutions, business and government. IIT works hard to fulfill its obligation as a responsive institutional partner to its surrounding neighborhoods. IIT is not only in the community, but also an integral part of the community. Many volunteer opportunities are available for faculty and staff.

9. **Escort Service**

If an individual needs an escort to his or her car, campus residence, a nearby hospital, or the rapid transit late at night, call extension 86300 and a public safety officer will be dispatched.
10. International Center

The International Center, at extension 73680, promotes the benefits of international educational exchange, study abroad, and cross-cultural communication among members of the IIT community. This office provides support services to international students and scholars and IIT departments on matters related to orientation, visa and immigration concerns. Social, cultural, and educational events are planned by the office and are open to all students, faculty, and staff.

11. Lost and Found

A lost and found service is maintained in the Campus Information Center of the McCormick Tribune Campus Center at extension 73700. The lost and found service at the Downtown Campus is maintained by Public Safety at the front lobby desk or call Public Safety at extension 65030.

12. Shuttle Service

Faculty, staff, and students may use the transportation service provided between Main Campus and Downtown Campus upon presentation of a university photo identification card. Schedules are posted at various locations on both campuses; contact the Access, Card, and Parking Services Office directly or online (see http://www.iit.edu/directory/shuttlebus.html).

13. Parking

All vehicle owners parking on IIT property (except in designated visitor parking) must register their vehicles with the Access, Card, and Parking Services Office and obtain a parking permit. Certain lots are reserved for faculty or visitors, and there are many no-parking zones. Vehicles violating these restrictions or other parking regulations may be ticketed or towed. No-parking regulations in fire lanes will be strictly enforced. A copy of the IIT regulations governing parking may be obtained from the Access, Card, and Parking Services Office or online at http://www.iit.edu/~parking/regs.html. For added security for vehicles, personal possessions should not be left in view. Valuables should be placed in the trunk and all doors should be locked.

Discounted parking is available to IIT faculty and staff at certain parking facilities in the vicinity of the Downtown Campus. Parking stickers are necessary in order to receive the discounts. To request more information and a free sticker, please send a memo to the Office of Administration and Finance, Downtown Campus, Suite 265.