Policies and Procedures Handbook  
Illinois Institute of Technology  

Procedure No.: A  
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I. Purpose  

The IIT Policies and Procedures Handbook is a guide for the operation of the business and financial matters of IIT. Neither academic nor employment matters are addressed in the manual. These matters are addressed in the manual on Human Resources Policies and Procedures, which is located in the Human Resources portal site of myIIT. Link from the Human Resources Announcements channel on the Work tab or the Faculty Handbook (http://www.iit.edu/general_counsel/policies/faculty_handbook/). This manual is not intended to cover specific operating policies within a department. Each department is encouraged to maintain an operation guide to address interdepartmental procedures. In the event of a conflict between IIT policies appearing in this manual and individual department policies, this manual shall govern.  

II. Distribution  

This Handbook should be available in every department office and can also be found at: http://www.iit.edu/general_counsel/policies/  

III. Additions and Changes  

Revised procedures will be coordinated and issued by the Office of the General Counsel.
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 at least 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](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.
Any proposed modifications to classrooms, research and teaching laboratories or faculty and staff offices (collectively, “educational facilities”) requires certain approvals. Modification to educational facilities requires the approval of the Department Chair, Dean or Director of the college or school and the Provost prior to submission to the Associate Vice President for Facilities, Real Estate & Construction and Vice President for Business & Administration. Modification of other administrative space and all support service areas requires the approval of the appropriate Director and the Vice President for that area of responsibility prior to submission to the Associate Vice President for Facilities, Real Estate & Construction and Vice President for Business & Administration.

Modification of classrooms requires the approval of the Director of Academic Services if such modification will result in limitations on the use of the classroom or a reduction in seating capacity. The Department of Facilities should be contacted for assistance in preparing cost estimates associated with the request; after securing the necessary approvals, all requests should be sent to the Associate Vice President for Facilities and Construction for scheduling. (See Procedure B.4 for additional information regarding process.)

Changes to an approved space modification that necessitate additional funding require another request to be processed in the same manner as the original.
The requirements, procedures and approvals set forth in this policy are applicable to all construction undertaken on any IIT campus, whether relating to new facilities or the remodeling of existing facilities. The various phases of the construction process include:

1. Project Request,
2. Design Team Selection,
3. Scope of Services and Fees,
4. Pre-design,
5. Schematic Design,
6. Design Development,
7. Construction Documents,
8. Bidding,
9. Construction, and
10. Occupancy.

The construction process assumes an architect or engineer will be hired to prepare drawings and specifications and provide construction administration services. Design services may also be accomplished via a contract for architectural and engineering services or a design/build contract. A project may proceed without an architect or engineer only with the approval of the Vice President for Facilities & Public Safety (or designee). For most projects, an architect’s seal will be required for architectural and related drawings, and engineering registration will be required for mechanical, electrical, plumbing, fire protection, structural, civil, data and telephone wiring and related engineering documents. The need for an architect’s seal and/or engineering registration may only be waived by the Vice President for Facilities & Public Safety (or designee). At the discretion of the Vice President for Facilities & Public Safety (or designee), a project that is particularly complex may require specialists to provide specialty services.

Although not all phases are required for every construction project, the following description reviews the purposes for and requirements of each of these phases.

1. **Project Request**
   This is the initial phase, and it defines what is required of the project in terms of addressing an end user’s needs, space requirements, building functions, systems and desired features. During this phase the following actions shall be taken:

   A. The President, Provost, Dean, Vice President, Director or Department Head (the “Requesting Party”) requesting a project may enter a Service Request using the then-existing online integrated work order system (currently branded as “FAMIS”), or contact the Vice President for Facilities & Public Safety directly. The work order system is accessed through the myIIT portal
at http://my.iit.edu/. The Director of Planning, Design, and Construction (or designee) will review the request for completeness, and if it is complete, he or she will forward the request to the Vice President for Facilities & Public Safety for review and approval of the project. Factors in considering project approval at this stage include, but are not limited to, alignment with the campus space use plans, campus master plans, and university strategic plan.

B. Upon approval of the project by the funding dean or vice president, and by the Vice President for Facilities and Public Safety, Provost or President as appropriate based on scope, size and other relevant factors, the Vice President for Facilities & Public Safety (or designee) will establish a preliminary statement of anticipated project costs. Once this estimate is finalized, it will be sent the Requesting Party, who will be required to (i) secure any necessary budgetary approvals for the project, and (ii) report to Office (defined below) an account number against which project expenses should be charged.

C. Upon receipt of an account number, the Vice President for Facilities & Public Safety (or designee) will assign the project an estimated start date for design and for construction, which will be reported to the Requesting Party.

2. Design Team Selection
Upon completion of the Project Request Phase, the Director (or designee) of the Department of Facilities’ Office of Planning, Design, & Construction (the “Office”) will coordinate the selection of the project’s architect and/or engineering consultant if such architect and/or consultant is required. In conjunction therewith, the Director may also develop a list of qualified firms to be considered, schedule selection committee meetings and coordinate any needed communications with consultants.

Based upon the size and complexity of a project, the Director may waive this phase and utilize in-house design services.

3. Scope of Services and Fee Negotiation
Upon selection of a project’s architect and/or engineering consultant, the Director (or designee) will oversee, in consultation with the Requesting Party, the preparation of a proposed scope of services and negotiation of fees for the requested services. The proposed scope should define what design services are necessary to achieve the project’s goals and should be used as the basis for negotiating the contract scope and professional services fee(s). For projects that are managed internally by the Office, an appropriate project management fee will be charged in order to cover the costs of coordinating and managing the construction process.

4. Pre-design
For projects of a large and/or complex nature, the Director may undertake a Pre-design Phase during which he or she will coordinate, in consultation with the Requesting Party and any other necessary departments, the services required to precede to the Schematic Design Phase, including, but not limited to, programming, site or space selection, evaluation and documentation of existing facilities.
5. Schematic Design
In conjunction with the Requesting Party, the Director (or designee) will oversee the production of outline specifications, a more detailed statement of anticipated or probable cost, the area of construction and the schematic floor plan, site plan and exterior drawings (if required). Upon completion of these elements, the project, along with the documentation and drawings produced to date, will be submitted to the Vice President for Facilities and Public Safety for review and approval in consultation with such other University officials as may be appropriate. If approved, any required adjustments will be made to the project budget, and the Requesting Party will confirm that sufficient funds are available in the designated account to complete the project. A project shall not move forward until the Office has received such a confirmation from the Requesting Party.

6. Design Development
For projects receiving approval at the Schematic Design Phase, the Director (or designee), in consultation with the Requesting Party, will coordinate the detailed defining of project characteristics and scope. Materials will be selected, specifications will be refined, and probable cost will be reviewed. Products of this phase will include dimensioned floor plans, wall sections, structural layouts, heating, ventilation and air conditioning (HVAC) system layouts, plumbing and electrical system layouts and technology system layouts.

7. Construction Documents
The Director (or designee) will coordinate the production of working drawings and technical specifications, which will be known as the Construction Documents. The Construction Documents will serve as the documents upon which contractors will base their bids.

8. Construction Contractor Selection
Upon receiving any required university approvals, the Director (or designee) will coordinate the procurement of construction services for the project using the most appropriate construction delivery method as approved by the Vice President for Facilities and Public Safety. Such methods may include general contracting, construction management (CM at-risk or as-agent), task order contracting, design/build and integrated project delivery. In bid situations, the Director (or designee) will coordinate bidding of the project, which will include issuing construction documents for bid, receiving bids, reviewing bids and determining the lowest responsive, responsible bid. In construction management delivery, the Director (or designee) will coordinate the RFP process to select a construction manager that represents the best value to the university and will monitor the construction manager’s development of a Guaranteed Maximum Price proposal which is supported by multiple subcontractor bids for each major trade. Other delivery methods mentioned above will, when used, be coordinated by the Director (or designee) and be awarded after an RFP process and determination of best value to the University. The Vice President for Facilities & Public Safety shall have, consistent with university policies, final authority to award project-related contracts, and he or she shall execute any and all contracts related to the project or to recommend and coordinate execution by higher authority as specified by University policy.

9. Construction
The Director (or designee) will take the steps necessary to ensure that the university receives the construction products and quality of construction required in the Construction Documents.
10. Occupancy
The Director (or designee) will notify the Requesting Party when occupancy is permissible or when a project is complete. At the time of occupancy or completion, architectural and engineering services generally will have ended; however, additional services such as an inspection prior to the expiration of the typical one-year construction warranty period and commissioning of HVAC systems may be undertaken. The Director, in consultation with the Requesting Party, as needed, will coordinate any additional services required given the nature, size and complexity of the project.
I. Conditions of Authorized Use

The use of space heaters is not allowed in Residence Hall Buildings.

The compliant use of electric space heaters is permitted, as a temporary measure in non-Residence Hall Buildings, if the Facilities Department has been notified, in advance, of the existence of the heater and a representative of the Facilities Department has verified that (i) use of the space heater will not overload the electrical circuit to be used, (2) the need for heat cannot be met by adjusting the building HVAC system, and (3) there are no obvious violations of the safety procedures of this policy. To notify the Facilities Department, please e-mail campussustainability@iit.edu or call 7-3320.

Any heater found to not be in compliance with the terms of the policy is subject to confiscation.

II. Safety Terms

Once use of a space heater has been authorized pursuant to Section I above, the user must comply with all of the following safety procedures:

1. Space heaters with open, or “glowing”, coils are not allowed.

2. The space heater is kept away from any combustible material by a distance of three feet or the manufacturer’s requirement, whichever is larger. Nothing is ever placed on top of or touching the space heater.

3. The space heater is always turned off when the area being heated is not occupied.

4. The space heater is plugged directly into a wall outlet. Do not use extension cords or power strips because of the risk of overheating and possibly catching fire.

5. The space heater is in plain sight, i.e. not under or behind any furniture.

6. Space heaters of any type are prohibited in laboratories.

7. All heaters must be Underwriters Listed or Factory Mutual approved for their intended use and have the following features or the unit must be replaced:
- Heaters must have a thermostat to automatically cycle the heating element when the desired temperature is achieved.
- Heaters must have a tip-over automatic shut down feature.
- Heaters missing guards, control knobs, feet, etc. must be taken out of service immediately.
- If it has any exposed metal parts, it must have a grounded three-pronged plug.
- It must not take more than 1,500 watts to operate.
- A space heater with an open grill must have a fan forcing air through the grill.
The sale or solicitation of merchandise or services is prohibited on all university property, including the Institute of Design, the Main, Downtown, Rice and Moffett campuses, except through IIT authorized channels. Examples of prohibited activities include, but are not limited to, personal solicitation, dissemination of literature or advertising materials, distribution of literature in apartment buildings, exhibition of advertising material on bulletin boards and distribution of literature through the campus post office. This applies to faculty, staff members and students acting for themselves or on behalf of any department or organization, as well as outside salespersons or solicitors.

Arrangements for sale or solicitation must be made with the Campus Reservations Office located in the McCormick Tribune Campus Center. (If such authorization is granted, the general policy is to require a payment to IIT for the privileges accorded.) At the Downtown Campus, arrangements for sale or solicitation by recognized student organizations must be made with the Assistant Vice President of Administration, Finance and CLE, and for other campuses, such groups must make arrangements with the respective Director's Office at each such campus.

Delivery of personal merchandise to faculty, staff members or students will only be permitted if the delivery person has specific authorization from the individual to deliver merchandise to the employee at the point designated.

Any sale or solicitation in progress suspected to be unauthorized should be referred to the appropriate office indicated above, and, if necessary, reported directly to the Public Safety Department.
I. General

IIT provides various fixtures and locations that may be used to advertise organizations, programs, events and services of interest to the University community. The ability to so advertise is a privilege not a right. Accordingly, as a condition of being granted permission to post or place and Advertisement (as defined below), the party granted such permission is agreeing to, and shall be deemed to have agreed to for all purposes, to the following: (i) notwithstanding authorization from the Designated Approver (as defined below), to be solely responsible for the content of the Advertisement, (ii) to the maximum extent permitted by law, to defend and hold IIT harmless from any and all costs, claims and liabilities associated with or arising from the advertisement, (iii) to follow the policies listed below as well as those established by the Designated Approver, and (iv) to be responsible for any property damage resulting from the posting or placement of an Advertisement.

II. Designated Approvers

Any and all flyers, leaflets, handbills, announcements or other adverts (collectively, “Advertisements”) may only be posted on designated bulletin boards or placed in comparable space duly designated after receiving the approval of the appropriate Designated Approver, and the posting or placement of Advertisements elsewhere or without prior approval is prohibited. Advertisements must first be approved as follows:

A. Bulletin boards outside of department or college offices are subject to the approval of each such office’s chair or dean (or his or her designee).

B. Bulletin boards and other spaces duly designated for the posting and placement of Advertisements at the Downtown Campus are subject to the approval of the Assistant Vice President of Administration, Finance and CLE (or his or her designee); bulletin boards and other spaces duly designated for the posting and placement of Advertisements at the Moffett, Rice and ID campuses are subject to the approval of their respective deans (or his or her designee).

C. All other bulletin boards and spaces duly designated for the posting and placement of Advertisements not covered by Sections A or B are subject to the approval of the Dean of Students (or his or her designee).

Each of the approvers designated in Sections A through C above is a “Designated Approver”. Each Designated Approver may establish additional requirements and procedures for the approval of Advertisements; provided, however, no such additional requirements or procedures may be less restrictive than those established by this Policy.
III. Rules and Restrictions

A. Tripods and easels may be used for the posting or placement of Advertisements only if prior approval is obtained from the appropriate Designated Approver.

B. Advertisements may not be posted or placed so as to overlap, cover or deface other Advertisements. Notices written in foreign languages must be accompanied by an English translation.

C. Advertisements may not contain any elements that, in the opinion of the Designated Approver, (i) are offensive, indecent or inconsistent with the educational mission and/or policies of IIT, or (ii) infringe copyrights, trademarks and/or service marks.

D. Advertisements may not contain any elements that restrict opportunity or otherwise discriminate based on race, color, religion, national origin, gender, sexual orientation, age, disability, veteran status or other protected classification.

E. Advertisements referencing alcohol must contain an explicit statement that attendees will be carded to ensure that only individuals 21 or older are served alcoholic beverages.

F. The individual or group given approval to post or place an Advertisement must timely remove it once it has become outdated.

IV. Violations

Advertisements that are posted or placed in violation of the requirements and procedures established by this Policy or such additional requirements or procedures established by the Designated Approver will be reported to the appropriate Designated Approver and removed. A group or individual determined to have violated any such requirements or procedures may, at the discretion of the Designated Approver, lose his, her or its right to post or place future Advertisements. Notwithstanding any other provision of this Policy, facilities personnel are authorized to remove any Advertisement that is determined to constitute a safety hazard or that may cause property damage.
IIT is subject to the Illinois Clean Indoor Air Act and Chicago Clean Indoor Air Ordinance, which stipulates that smoking, including the use of e-cigarettes and comparable devices, is banned in all enclosed public places and places of employment as well as student dormitories. On IIT campuses, these places include:

- All enclosed workplaces;
- Residence Halls - State Street Village, McCormick Student Village, Carmen Hall and Gunsaulus Hall;
- All restaurants without a bar area;
- Public places;
- Public restrooms, lobbies, reception areas, hallways and other common use areas in public buildings, apartment buildings and condominium buildings;
- Within 15 feet of the entrance to enclosed public places; and
- Recreational areas including enclosed sports arenas, stadiums, swimming pools, ice and roller rinks, arcades and bowling alleys.

In order to comply with the Ordinance, IIT prohibits smoking in all of the above listed locations on all of its campuses.

Further, IIT requires students, faculty members, employees and guests wishing to smoke to do so at least 25 feet away from the entrances, windows and air intakes to any building.

Violations of the no smoking policy should be reported to the building representative who shall forward them to the appropriate administrative officer.
As (a) the University has a growing undergraduate student body, a large majority of whom are under the age of 21, (b) the University desires to manage the risks and potential liability associated with alcohol, which can be especially acute on a college campus, and (c) as the University administration believes it is paramount to lead by example, so as to model safe and responsible behavior for its undergraduate students, the following rules are established for the serving of alcohol at any University event, gathering, function or the like (collectively, an “Event”) held on or in any University owned or leased property, except individual living quarters (collectively, a “Property”).

(For the avoidance of doubt, this policy does not apply to the retail sale of alcohol, which currently is allowed and may occur only in The Bog. The retail sale of alcohol is highly regulated, and the sale of alcohol is expressly prohibited outside any duly licensed locations, which, again, is currently only The Bog. This policy also does not apply to Events held at third-party venues, such as hotels, restaurants and banquet facilities.)

1. Alcohol may never be served to individuals under the age of 21 at any time. If individuals under the age of 21 will be present at an Event, then the Event must include a process for establishing the age of attendees and a system for identifying (e.g., color coded bracelets, tags, stickers or other identifying marks) those under the age of 21 which identification is readily visible to servers.

2. Alcohol is generally limited to only beer and wine. Express permission to serve any other type of alcohol must be received in advance from the Vice President for Administration. Such permission will be granted only in limited circumstances, when the nature and purpose of the Event, and associated facts and circumstances, justify the necessity for such service.

3. The only provision for the serving of alcohol on or in any Property is either through the University’s sanctioned food and beverage provider or a licensed, insured and authorized caterer approved in advance by the Vice President for Administration. The University’s sanctioned food and beverage provider (or an approved caterer) must provide, at the Event organizer’s expense, trained bartenders for any Event at which alcohol is to be served. Other individuals, including any University employee, are not permitted to serve alcohol at an Event on or in a Property.

4. Requests to serve alcohol on or in any Property must be approved by the dean or administrative officer who exercises authority over the group requesting alcohol service. When students are invited and/or present, the Dean of Students must also review and approve the request. The request will be sent to the Vice President for Administration for final approval and then filed with the Office of Event Services. Any group desiring to serve alcohol at an Event shall process a Request to Serve Alcoholic Beverages Services Request Form (the “Form”) and receive all of the necessary approvals before advertising the Event or contracting with the University’s sanctioned food and beverage provider (or an
approved caterer). The Form, which will be furnished with the catering menu quotation sent by the University’s sanctioned food and beverage provider, is otherwise available from the Campus Reservations Office, the Office of Student Affairs, Office of Event Services and the Downtown Campus’ Office of Administration and Finance.

5. Absent prior permission from the Vice President for Administration -- which permission will be granted only in limited circumstances, when the nature and purpose of the Event, and associated facts and circumstances, justify the necessity for such service -- all Events at which alcohol will be served must adhere to the following restrictions:

(A) No alcohol is to be served before 4:00 p.m.;
(B) As noted in Paragraph 3 above, alcohol must be served by a trained bartender, meaning that guests at an Event cannot be allowed to serve themselves;
(C) Alcohol must be dispensed in a designated, closed-off area where under-aged access can be monitored and restricted; and
(D) Alcohol may not be served in an academic classroom or auditorium.

6. It is the responsibility of the group hosting an Event (i.e., the group who registered with the Office of Event Services as hosting the event on the Mies Campus and the Office of Finance and Administration on the Downtown Campus) at which alcohol is served, to designate one or more specific individuals associated with that group to make certain that: (a) no alcohol is served to anyone under 21 years of age; (b) no one becomes unruly or intoxicated; (c) the beverage server(s) at the Event are (i) advised that individuals under the age of 21 are at the Event, (ii) made aware of the system established per Paragraph 1 for identifying those attendees under the age of 21 and (iii) informed that they must ensure that each person served alcohol is 21 or older by asking for appropriate identification if the person looks younger than 30 or the server has any doubt; (d) a sign is posted in view of those attending that alcohol will not be served to anyone under the age of 21; and (e) any serious behavior problems, disturbances or property damage which may occur shall be reported immediately to the Department of Public Safety and then called promptly to the attention of the appropriate dean or administrative officer and/or the Office of General Counsel.
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;
4. 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.
I. Purpose

The University encourages the use of bicycles, but such use necessarily requires the establishment of certain rules in order to promote compliance with applicable laws and maintain safety. In particular, bicycles stored or parked on campus must be kept in designated areas, which include bicycle racks and any bicycle storage rooms that may be so designated from time-to-time. Bicycles locked or parked anywhere else can create a safety hazard in the event of fire or other emergency. Further, keeping bicycles in designated areas allows easy access to bicycle racks and maintains a clean campus environment. In furtherance of the foregoing purposes, the University has established this Bicycle Use and Abandoned Bicycle Policy.

II. Bicycle Usage

City of Chicago ordinance mandates that no one over the age of 11 may operate a bicycle on a sidewalk. Further, for the safety of pedestrians on the campuses, bicycles are not allowed to be ridden on campus sidewalks, ramps or stairs. Exclusive of any storage areas that the University may designate from time-to-time, bicycles are not allowed to be brought inside a campus building. This prohibition applies to all students, faculty, staff and guests and includes residence halls, academic and administrative buildings.

III. Securing of Bicycles

There are numerous bicycle racks on the University’s Main Campus and several on or near the University’s other campuses. These racks may be supplemented from time-to-time by designated enclosed bicycle corral spaces for bike storage. These are the only designated locations at which bicycles may be secured. Any bike found to be secured to any other location, including, but not limited to, a railing, sign, fence, garbage can, bench, tree or post is subject to having the lock cut and the bike relocated by the Office of Campus Energy and Sustainability (OCES). The University will not reimburse individuals for locks that have been cut to remove bicycles not secured in accordance with this Policy. Those who have had an improperly secured bicycle removed should contact OCES at 312-567-3447 or campussustainability@iit.edu to identify and claim it.

IV. Abandoned Bicycles.

OCES conducts monthly bicycle counts and will take note of abandoned bikes on a regular basis. A bicycle shall be deemed abandoned if it: (1) is in a state of disrepair as to be incapable of being operated in its present condition, or (2) has not been moved or used in more than 30 days and bears physical indicia of having been deserted. Physical indicia of desertion include,
but are not limited to, excessive rust, rust on chain, seat and handlebars coated in dirt or dust, and/or flat tires.

Any bicycle deemed abandoned pursuant to the above will have a notice (non-reusable removable plastic seal) affixed to it which informs the bicycle's owner that the bicycle appears to be abandoned. This notice will indicate: (1) the phone number and e-mail address to contact OCES to advise that the bicycle is not abandoned; and (2) the date after which the bicycle may be removed if it is not claimed by its owner. A record of the bicycle information (location, make, color, and serial # if possible) will be recorded, along with the date of observation.

A bicycle shall not be deemed to be abandoned if the owner of the bicycle, within 14 days of the affixing of the notice of abandonment, relocates the bicycle or notifies OCES that it is not abandoned.

If a bicycle is not relocated or claimed by its owner within 14 days of the affixing of a notice of abandonment, the bicycle will be removed and retained by OCES for a period of 30 days. If, after being removed, a bicycle is not claimed by its owner within the 30-day holding period, it will become the property of Illinois Institute of Technology, and it may after be used, sold, auctioned or scrapped as the University deems appropriate. To reclaim an impounded bike during the 30-day holding period, contact OCES at 312-567-3447 or campussustainability@iit.edu.

OCES, at its discretion, may temporarily suspend the tagging and removal of abandoned bicycles to account for extended periods of owner's absence. This may include but is not limited to: Summer Break, Winter Break and Spring Break.

The above policy also encompasses any parts of a bicycle on campus (i.e. a tire, frame without wheels, etc.) as well as the actual lock or chain that is affixed to a rack but is not presently secured to a bicycle.

The University will not be responsible for any bicycles illegally secured in or on campus property or abandoned on University property.

V. Release and Waiver of Liability

The University will not be liable for – and bicycle owners by accessing and using University property and/or facilities waive – all claims for loss, theft or damage to property or the property of any person claiming by, through or under this Policy resulting from:

- Wind and weather;
- The failure of any sprinkler, heating or air-conditioning equipment, electric wiring or gas and water or steam pipes;
- The backing up of any sewer pipe or downspurt;
- The bursting, leaking or running of any tank, water closet, drain or other pipe;
- Water, snow or ice on top of or coming through the roof, skylight, stairs, doorways, windows, walks or any other place near the building; and
- Any act or omission of any kind by any individual(s), exclusive of gross negligence or willful misconduct by a University officer, employee or agent.

No officer, employee or agent of the University is, or shall be deemed, personally liable for the performance of any obligations under this Policy. To the extent not covered by the foregoing waiver and release, bicycle owners by accessing and using University property and/or facilities acknowledge, agree and consent to the liability of the University being limited to the lesser of (i) actual losses, or (ii) $100.
I. General Purpose

The university has striven to support, and will continue to strive to support, its faculty, staff, and students during the COVID-19 pandemic and for a period of time after the pandemic during which COVID-19 continues to circulate among the population. In return, the university expects all faculty, staff, and students to act in a socially responsible manner to help limit the spread of COVID-19. To be clear, as long as COVID-19 is circulating, returning to the campuses for normal operations comes with risks that all are assuming, but collective action by all faculty, staff and students can mitigate these risks. Adherence to this policy is a key component of such mitigation.

II. Scope/Applicability

This policy applies to all university faculty, staff, and students, and it is effective as of August 2, 2021.

III. Definitions

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


“CDC” means the United States Centers for Disease Control and Prevention.

“FDA” means the United States Food and Drug Administration.

“Fully Vaccinated” shall mean an individual who has received their full vaccination regime and for whom the prescribed amount of time (most commonly two weeks) for the vaccine to take full effect following the last shot has elapsed.

IV. Required Vaccination Policy and Reporting

(a) Findings. The university has determined that COVID-19 vaccines are now widely accessible, with free, walk-up appointments being readily available across the Chicago region. This City of Chicago website assists individuals with scheduling vaccination appointments - https://www.chicago.gov/city/en/sites/covid19-vaccine/home/vaccine-
Further, the university has determined that requiring vaccinations will enhance the health and safety of the university community and efficient operations of the campus. The university also believes that the safety and efficacy of the various COVID-19 vaccines have been demonstrated, and we urge all employees and students to review data on the website of the CDC - https://www.cdc.gov/coronavirus/2019-ncov/vaccines/safety.html – and FDA - https://www.fda.gov/emergency-preparedness-and-response/coronavirus-disease-2019-covid-19/covid-19-vaccines. And, the Illinois Board of Higher Education has advised colleges and universities to require COVID-19 vaccinations of their campus populations - https://www.ibhe.org/pdf/Higher_Education_Phase_5_Guidance_Final_Issued_7-19-21.pdf.

(b) COVID-19 Vaccination Requirements. Based on the determinations set forth in (a) above, and subject to limited exceptions noted in Section V and any obligations to bargain regarding the same with respect to employees covered by a collective bargaining agreement, it is the policy of the university that all currently employed faculty and staff members who work on campus for any period of time and all currently enrolled students who attend any classes on campus must be Fully Vaccinated in accordance with the following schedule:

(i) Any faculty or staff member or student residing in the United States on or before August 2, 2021 must receive at least their first shot of an Authorized Vaccine on or before August 15, 2021 and must report, in accordance with subsection (c) or (d) below, as applicable, this fact to the University by this same date; any required second dose of an Authorized Vaccine, if any, must be received within the applicable timeframe established for the particular vaccine and promptly reported to the University upon receipt; and

(ii) Any faculty or staff member or student who begins to reside in the United States after August 2, 2021 must receive at least their first shot of an Authorized Vaccine on or before September 17, 2021 and must report, in accordance with subsection (c) or (d) below, as applicable, this fact to the University by this same date; any required second dose of an Authorized Vaccine, if any, must be received with the applicable timeframe established for the particular vaccine and promptly reported to the University upon receipt.

Any individual newly hired by the University as a faculty or staff member or any student newly admitted to the University after August 2, 2021 must be Fully Vaccinated prior to commencing employment or enrollment.

Faculty or staff members may get their Authorized Vaccine during their regularly scheduled work hours contingent on supervisor approval. University employees who request time off for COVID-19 vaccinations will be paid for up to two hours for each appointment - up to four hours of total pay. The employee’s supervisor must approve their leave to receive their Authorized Vaccine during working hours to minimize business interruptions.

(c) Reporting – Faculty and Staff. Faculty and staff are to electronically upload proof of their COVID-19 vaccinations to the Office of Human Resource via this link – Faculty & Staff Vaccination Documentation. Proof must be either a CDC-issued COVID-19 Vaccination Record Card or an electronic health record from a healthcare provider or healthcare system.
(d) **Reporting – Students.** Students will electronically upload proof of their COVID-19 vaccination to the Student Health and Wellness Center via this link – [Student Vaccination Documentation](#). Proof must be either a CDC-issued COVID-19 Vaccination Record Card or an electronic health record from a healthcare provider or healthcare system.

(e) **Confidentiality.** Proof of vaccination submitted by faculty and staff members will only be reviewed by personnel of the Office of Human Resources. Proof of vaccination submitted by students will only be reviewed by personnel of the Student Health and Wellness Center. All such documentation will be maintained in accordance with applicable privacy laws.

(f) **Face Coverings.** To the extent recommended or required by currently effective federal, state, municipal or other applicable public health guidance, all faculty, staff and students, as well as contractors and visitors, must wear a face covering at all times in any shared indoor settings regardless of vaccination status.

V. **Exceptions**

(a) **Allowed Exceptions.** The university will recognize three limited exceptions to its vaccination requirement – (1) health reasons (permanent or temporary), (2) a deeply held religious belief, and (3) a temporary EUA extension.

(b) **Health.** Any faculty or staff member or student requesting a permanent health exception must provide the university with documentation thereof from a licensed medical provider. Any faculty and staff members or students requesting a temporary exception due to the fact that (1) they have recently tested positive for COVID-19 or undergone antibody therapy in the last 90 days, or (2) they are pregnant, breastfeeding or any other temporary health condition that is a contraindication to the COVID-19 vaccine must provide the university with documentation thereof from a licensed medical provider; provided, however, faculty and staff members and students granted a temporary exception will be expected to fulfill their vaccination requirement once the bases for their temporary exception ceases to exist and they are cleared by their healthcare provider. A faculty or staff member seeking a health exception should submit this documentation to the Office of Human Resources via this link – [Faculty & Staff Medical Vaccine Exception Requests](#). A student seeking a health exception should submit this documentation to the Center for Disability Resources via this link – [Student Medical Vaccine Exception Requests](#). The documentation will be reviewed in accordance with applicable law, and the faculty or staff member or student will be notified whether the exception has been granted.

(c) **Religious Belief.** Any faculty or staff member or student requesting an exception due to a deeply held religious belief must provide a personal statement that identifies such belief and explains how it inhibits their ability to get vaccinated. A faculty or staff member seeking a religious exception should submit this statement to the Office of Human Resources via this link – [Faculty & Staff Non-Medical Vaccine Exception Requests](#). A student seeking a religious exception should submit this documentation to the Center for Disability Resources via this link – [Student Non-Medical Vaccine Exception Requests](#). The documentation will be reviewed in accordance with applicable law, and the faculty or staff member or student will be notified whether the exception has been granted.
reviewed in accordance with applicable law, and the faculty or staff member or student will be notified whether the exception has been granted.

(d) EAU. Any faculty and staff member and student may request a temporary exception if they are hesitant to receive the vaccine due to the emergency-use authorization (EAU) status. Any faculty or staff member or student requesting an EAU exception must provide a written statement to this effect. A faculty or staff member seeking an EAU exception should submit this documentation to the Office of Human Resources via this link - Faculty & Staff Non-Medical Vaccine Exception Requests. A student seeking an EAU exception should submit this documentation to the Center for Disability Resources with this link - Student Non-Medical Vaccine Exception Requests. Upon receipt, the faculty or staff member or student will receive an acknowledgment that the EAU exception has been granted. Faculty and staff members and students who receive an EAU exception must begin the process to become Fully Vaccinated within 10 days following full FDA approval of any COVID-19 vaccine and must be Fully Vaccinated within the applicable timeframe established for the particular vaccine, unless they apply for and receive another exception. An individual who receives vaccination shot(s) following an EAU exception must report their receipt of the same to the University in accordance with Section II(c) or Section II(d), as applicable.

(e) Requirements Applicable to Individuals Not Fully Vaccinated. Faculty and staff members, as a requirement of continued employment, and students, as a requirement of continued enrollment, receiving a vaccination exception are required to participate in increased levels of COVID-19 testing as and when determined by the university. Further, consistent with CDC and state and city public health guidance, faculty and staff members and students who are not Fully Vaccinated are to wear a face covering at all times in any shared indoor settings and to maintain, to the extent practicable, six feet physical distance in indoor settings. In outdoor settings, individuals who are not Fully Vaccinated may choose not to wear a face covering when able to maintain a six-foot physical distance. (This guidance also advises that persons who are immunocompromised should wear face coverings when in any setting where others may not be fully vaccinated; in any event, such persons are advised to discuss with their healthcare provider what protections they should take.)

Faculty and staff who are not Fully Vaccinated and need assistance in facilitating their ability to practice, to the extent practicable, physical distancing should contact the Office of Human Resources (hr@iit.edu). Students who are not Fully Vaccinated and need assistance in facilitating their ability to practice, to the extent practicable, physical distancing should contact the Office of the Vice Provost of Student Affairs (dos@iit.edu). Such requests will be evaluated on a case-by-case basis to determine if reasonable options, which are neither burdensome nor disruptive to operations, exist for such facilitation.

VI. Positive Test, Close Contact, Exhibiting Symptoms

Faculty, staff and students who (i) have tested positive for COVID-19, regardless of vaccination status, (ii) are not Fully Vaccinated and have had close contact with someone who has tested positive for COVID-19, or (iii) are exhibiting symptoms of COVID-19, regardless of vaccination status, should not come to work, class or the campus.
In the case of (i), such individuals may return to work, class or the campus 10 days after the date of their positive test; provided they are not then still exhibiting COVID-19 symptoms.

In the case of (ii), such individuals may return to work, class or the campus either (a) 10 days after the date of contact; provided they are not then exhibiting any COVID-19 symptoms, or (b) upon receipt of a negative COVID-19 test taken at least 5 days after the date of contact; provided they have not exhibited any COVID-19 symptoms.

In the case of (iii), such individuals may return to work, class or the campus after receipt of a negative COVID-19 test.

VII. Symptoms Monitoring

All faculty, staff and students are urged to perform daily health screenings for infectious illnesses, including COVID-19. The CDC’s list of current COVID-19 symptoms can be found at https://www.cdc.gov/coronavirus/2019-ncov/symptoms-testing/symptoms.html. Those with signs or symptoms of infectious illness should stay home and contact their health care provider to determine whether to seek testing or medical care.

VIII. Contractors and Visitors

Any contractor or visitor to the campuses is strongly encouraged to be Fully Vaccinated against COVID-19. Any contractor or visitor to the campuses that is not Fully Vaccinated is to wear a face covering at all times in any shared indoor settings and to maintain, to the extent practicable, six feet physical distance in indoor settings. In outdoor settings, a contractor or visitor who is not Fully Vaccinated may choose not to wear a face covering when able to maintain a six-foot physical distance.

IX. Policy Modification and Compliance with Law

(a) Because public health guidelines and business and industry best practices regarding COVID-19 and COVID-19 vaccines can change as new information becomes available, the university reserves the right to modify this policy at any time in its sole discretion to respond to changing circumstances and needs.

(b) Nothing in this policy is intended to relieve, and shall not be deemed to relieve, any faculty or staff member or student from complying with any applicable COVID-19 related requirement of any governmental body that exists, or may be imposed or adopted in the future, including, but not limited, to CDC and City of Chicago travel requirements and restrictions.
The Public Safety Department serves the IIT community and the general public by performing law-enforcement functions. Motorized, foot, bike and stationary patrols are utilized 24 hours a day. The Public Safety Department is located on the second floor of Farr Hall, 3300 S. Michigan Ave. The telephone number is ext. 8-6300 for non-emergency and ext. 8-6363 for emergency calls. All calls to the Public Safety Department are recorded.

Public safety services are provided by Levy Security Corporation, a professional security services firm headquartered in Chicago. All officers are trained and certified in accordance with regulations set out by the Illinois Department of Professional Regulation. The Public Safety Department is limited in its patrol to campus property, primarily patrolling the area bounded by 31st to 35th streets and LaSalle to Indiana streets. Other streets may be used as travel routes to and from the primary patrol areas. Public safety officers also patrol the Downtown Campus building at 565 W. Adams St. and the adjoining sidewalk. Additionally, public safety officers provide public safety services at the Rice Campus located at 201 E. Loop Road in Wheaton and the Moffett Campus located at 6502 S. Archer Road in Summit-Argo.

I. Escort Service

On Main Campus, a 24-hour sick- or injured-person escort service is provided to and from the IIT Medical Office and local medical professional buildings and hospitals. Security escort service is provided on the IIT campuses and may be given either on foot or by vehicle. On Main Campus, escorts are provided to any point on campus and to the CTA Red and Green lines at 33rd and 35th streets. Downtown Campus escort service extends to a radius of four blocks from the building. Rice Campus and Moffett Campus escorts are from the building to the parking lots. Escorts should be requested when an individual has a concern for his or her safety (i.e., he or she feels uncomfortable walking the campus) and not simply for convenience (i.e., it is raining or snowing or he or she has arrived at the CTA station with luggage). Escorts are not provided to off-campus areas, except in the case of a medical emergency.

II. Building Lockouts

Public Safety will help members of the IIT community who are locked out if they have a valid IIT identification card. Public Safety will normally not open individual rooms; persons must use their own room keys. Students must have written authorization from their respective department chairman to have access to a locked building or room. (During normal business hours, Resident Advisors and Housemen are also available to assist students who are locked out.)
III. Motorized Assistance Program

Public Safety will help members of the IIT community who have left their keys in their vehicles and are locked out. There is no charge for this service, but persons must sign a waiver form releasing Public Safety and IIT from liability for any damage that may occur to their vehicle. Vehicles must be parked on campus to render this service. Auto jumpstarts are also provided to members of the IIT community. Again, there is no charge for this service, but vehicles must be on campus.

IV. Shuttle Bus

Public Safety monitors the shuttle bus service that runs from the Main Campus to the Downtown Campus. The current bus schedule for bus run times and pick-up and drop-off locations can be accessed through the IIT Website (http://www.iit.edu/directory/2011-2012IITShuttleBusSchedule.pdf) or can be obtained at various locations at the different campuses.

V. Emergency Telephone System

The Public Safety Department and Department of Facilities maintain and administer the emergency telephone system. There are 50 emergency telephone locations, both inside and outside of IIT buildings. These telephones are direct-line telephones; when the button is pressed, the person will speak directly with the campus police dispatcher. Additionally, direct line phones are located at the 33rd Street station of the CTA Red Line so that people can arrange for escorts to campus or summon immediate assistance.

VI. Crime Prevention Presentations

Public Safety will provide crime prevention presentations upon request, and it has provided such presentations to new students, commuter students, disabled groups, international students, new employees, residence halls community organizations and affiliated organizations located on one of the IIT campuses.
Safety and health at IIT must be part of every operation. Without question, it is every employee's responsibility at all levels, as the well-being of every employee is a priority.

IIT strives to maintain a safety and health program conforming to the best practices of universities of comparable size and character and to instill the proper attitudes toward injury and illness prevention on the part of employees at all levels. Cooperation is required in all safety and health matters, not only between supervisors and employees, but also between employees and their co-workers. Only through such a cooperative effort can an effective safety and health program be established and preserved.

Consistent with these goals, maintaining operations in such a manner so as to provide for the safety of employees is the responsibility of IIT, a responsibility that is achieved through each supervisor, academic and non-academic, acting under the guidance and direction, as necessary, of the relevant university vice president or dean and IIT's Director of Environmental Health and Safety. To accomplish the foregoing, safety and health programs should include:

1. Providing mechanical and physical safeguards to the maximum extent possible;
2. Conducting a program of safety and health inspection to identify and eliminate unsafe conditions or practices, to control health hazards and to comply fully with federal, state and local laws and regulations;
3. Offering presentations, speakers and training to employees in safety and health practices;
4. Providing personal protective equipment as needed and instructions for use and care;
5. Developing and enforcing safety and health rules and requiring that employees adhere to these rules as a condition of employment; and
6. Investigating accidents to determine their cause and to take corrective action.

As required by and in accordance with applicable law, IIT has responsibilities for providing a safe environment. Further, each employee is expected to take responsibility for performing work in accordance with safe standards and practices. Safety and health will only be achieved through teamwork. Everyone must join together in promoting safety and health and taking reasonable measures to assure safe working conditions at IIT. Failure to adhere to IIT's proscribed safety and health policies, procedures, practices or rules may be cause for disciplinary action.

More specifically, IIT's Safety Policies and Procedures, compiled by the Safety Policy Committee, provide employees with the basic information that they should know to help
ensure their safety while working at IIT. These policies and procedures are available online at: http://www.iit.edu/general_counsel/safety_committee_reports.shtml.

Employees should read the *Safety Policies and Procedures* so that they will know beforehand what to do about safety issues and emergencies.

IIT's *Safety Policies and Procedures* are not meant to be a comprehensive manual for laboratories or other areas where unique safety measures are called for; rather, it is intended to provide general information about safety and university policies applicable to all areas. Complete rules and procedures for departments with special safety requirements are available directly from those departments.

A Campus Safety Working Group, under the direction of the Director of Environmental Health and Safety, meets regularly and safety consulting services are provided by IIT's insurance and workers' compensation providers. The Campus Safety Working Group welcomes questions, comments and suggestions about safety procedures and practices, and such questions, comments or suggestions should be directed to the Director of Environmental Health and Safety.
Parking at IIT is allowed only in designated lots, areas and spaces. All students, staff, faculty, apartment and dormitory residents, building tenants, university-affiliated employees and their guests are eligible to utilize campus parking. All vehicles must display a valid IIT permit or utilize paid (meter/paybox) visitor parking. Detailed parking rules can be found at [http://www.iit.edu/~parking/regs.html](http://www.iit.edu/~parking/regs.html); below is a summary of those policies.

Parking permits can be obtained from the HawkCard & Parking Services Office in the Hermann Hall mezzanine level. Annual permits are valid September 1st through August 31st of each year. A grace period for annual permit renewal will be designated at the discretion of Parking Services.

Color coded parking hangtags are assigned according to the customer's affiliation with IIT. Authorized parking lots and corresponding permits needed are shown on the following link. [http://www.iit.edu/~parking/pdfs/parkingmap.pdf](http://www.iit.edu/~parking/pdfs/parkingmap.pdf)

Parking violations are enforced through the issuance of citations. Fines should be paid at the HawkCard & Parking Services Office or mailed within 7 days of the ticket issue date. Outstanding fines are subject to late penalty fees.

Parking citations may be appealed; however, appeals must be received online at [http://www.iit.edu/~parking/appeal/appealonline.html](http://www.iit.edu/~parking/appeal/appealonline.html) or submitted in writing no later than the seventh day after the citation was issued.

Vehicles may be towed from campus for the following reasons:

1. The vehicle prevents university support operations from being completed.
2. The vehicle appears to be abandoned or inoperable.
3. The vehicle is parked in a fire lane or in any area that obstructs traffic or pedestrian flow.
4. The vehicle is parked in a posted reserved, handicap or “tow zone” area.
5. The parked vehicle is deemed a safety or security hazard.
6. The vehicle has three or more outstanding fines, and no actions have been taken to pay or appeal the fines.

The vehicle owner is responsible for all charges related to towing, including any storage costs. Vehicles towed as “Repeat Violators” will continue to be ticketed and towed until a satisfactory payment arrangement is made with the HawkCard & Parking Services Office.
This Policy sets forth the process for tracking and reporting property damage, including that caused by fire, accidents and injuries on IIT property. It supplements the procedures contained in Procedure No. E.1 entitled Insurance Claims Filing Procedure. See http://iit.edu/general_counsel/policies/pdfs/procedure_e1_insurance_claims_filing_procedure.pdf.

Any damage to IIT property or accident or personal injury (whether suffered by an employee, student, guest or member of the public) occurring on IIT property must be reported immediately to the Department of Public Safety. Public Safety can be contacted at extension 8-6363 from campus telephones or at 312-808-6363 (or 312-808-6300 for non-emergency) from off-campus telephones. The Department of Public Safety maintains direct contact with the Chicago, Wheaton and Bedford Park Police and Fire Departments, and it can obtain immediate support from these departments.

Following such notification, the Department of Public Safety will promptly dispatch a Public Safety Officer to investigate, and the Officer will complete an official Incident Report relating to the matter. The reporting of an accident or injury pursuant to this Policy does not relieve or excuse the involved IIT employees from complying with the IIT Safety Policy Committee’s Incident Investigation Policy. See http://iit.edu/general_counsel/pdfs/incident_invest_policy.pdf.

An individual who has been injured generally should not be moved or left alone. Further, nothing should be removed from the area where the accident or injury occurred, unless doing so is necessary to avoid a safety hazard.

Under no circumstances should IIT personnel answer questions or make any statements regarding IIT responsibility or coverage for any damage, accident or injury. Non-employee individuals with questions (including students if the accident or injury occurred while they were not working for IIT) should be referred to the Office of General Counsel (7-3006). Employees (including student workers) injured while acting within the scope of their employment generally are covered by Workers’ Compensation, and they should direct any questions that they may have related to such coverage and claims to the Department of Human Resources (7-3318). Employees with questions unrelated to Workers’ Compensation related issues may also contact the Office of General Counsel.
I. Introduction

IIT is committed to the safety and security of its community. Though IIT encourages all members of the IIT community, whether they are a victim or witness, to report crimes, potential crimes and suspicious persons and activities, certain employees, as identified in this policy, have an obligation to report crimes. An individual who subsequently becomes aware of a crime is also encouraged to report it even if the victim has elected not to, or is otherwise unable to, do so. The process for reporting crimes is set forth below.

To enable members of the IIT community to promote their own safety and prevent becoming the victims of crime, IIT provides notifications of crimes on or near its campuses. A summary of this notification process is described herein. In addition, as a supplement to the on-going programs and efforts made by various IIT departments to advance safety and security on campuses, IIT’s Department of Public Safety provides on its website a number of resources for proactively promoting personal safety as well as a copy of IIT's most recent Campus Security Report. See http://www.iit.edu/public_safety. All members of the IIT community are strongly encouraged to review all crime notifications and to become familiar with and take advantage of the safety resources referenced in this policy.

II. Who Must Report and Reportable Crimes

Under federal law, certain IIT employees are required to report certain “crimes.” Crimes include the following: criminal homicide, including murder and non-negligent manslaughter, negligent manslaughter, robbery, aggravated assault, burglary, motor vehicle theft, arson, hate crimes,1 domestic violence, dating violence, sexual assault, stalking and liquor, drug and weapon violations.2 Such employees are referred to as “Campus Security Authorities” under the Clery Act. Campus Security Authorities are required promptly to report crimes, and they should do so to IIT’s Department of Public Safety. Crimes of sexual violence may also be reported to either the Title IX, Dean of Students or another designated “Officials With Authority.”3 Employees who qualify as

1 A hate crime is any of the listed crimes plus destruction/damage/vandalism of property, larceny-theft, simple assault, and intimidation that involved victims who were intentionally selected because of their actual or perceived race, gender, religion, sexual orientation ethnicity, disability, gender identify or national origin.

2 Definitions of these crimes are in Appendix A of Subpart D of Part 668 of the Clery Act regulations, which is at the following link: http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=0e826eb893497871725d8a9df8d36286&mc=true&n=sp34.3.668.d&r=SUBPART&ty=HTML#ap34.3.668_149.a.

3 In accordance with Title IX, IIT has designated the employees as Officials with Authority: President, Provost, Vice Presidents and those designated to serve in the role of Associate or Assistant Vice Presidents/Provosts; the Title IX Coordinator and Assistant Title IX Coordinators, academic deans, department chairs; student affairs and residential life directors; athletic directors; and the Director and Assistant Directors of Public Safety.
Campus Security Authorities - and, thus, are subject to this obligation - are those with the following titles or who act in the following capacities:

- President, Provost, Vice Presidents/Provosts and those designated to serve in the role of Associate or Assistant Vice Presidents/Provosts;
- the Title IX Coordinator and Assistant Title IX Coordinators, academic deans, directors and department chairs, including those serving in associate roles;
- student affairs directors;
- residential life personnel, including resident advisors;
- Greek life coordinators;
- athletic administrators, including directors, assistant directors, coaches, assistant coaches and trainers;
- student activities coordinators;
- faculty and staff advisors to IIT recognized student organizations;
- academic advisors; and
- Public Safety staff (each a “Campus Security Authority”).

Even if a campus security authority has a doubt about whether a crime has in fact occurred, he or she should report it. No one except public safety personnel should attempt to apprehend or pursue a suspected criminal.

(For purposes of clarification, staff members of the Student Health and Wellness Center, whose official responsibilities include providing mental health counseling, when acting within the scope of their license or certification, and designated confidential advisors are generally obligated by law to maintain confidentiality, and these individuals are not required to report criminal offenses, including sexual misconduct, about which they are informed.)

III. Reporting Crimes

Although a Campus Security Authority must come forward and report crimes, as noted, other members of the IIT community are encouraged to do so, and such individuals may make reports anonymously by telephoning the Department of Public Safety at one of the numbers noted below. The individual so reporting should inform the dispatcher who answers that he or she wishes anonymously to report a crime, and though the individual will not be asked his or her name, he or she will be asked to provide as much information as he or she can. Reports should be made as follows:

A. Crimes that occur on campus:

To report a crime, whether at the Main, Rice, Downtown or Moffett campuses, one can call Public Safety at 312-808-6363 (or 312-808-6300 for non-emergency) from off-campus telephones or extension 8-6363 from campus telephones or report in person at the Department of Public Safety’s offices, located at 3300 South Michigan Avenue, Chicago. Reports can also be made electronically at www.iit.edu/incidentreport. The Department of Public Safety maintains direct contact with the Chicago, Wheaton and Bedford Park Police and Fire Departments, and support from these departments can be obtained immediately. Any of the emergency telephones located throughout campus may be used as well. With respect to crimes of sexual violence, reports may also be made to (i) IIT’s Title IX Coordinator, Virginia Foster, whose contact information is: 312-567-5725, foster@iit.edu, IIT Tower, 10 West 35th Street, Room 2D9-1, Chicago; or (ii) IIT’s Dean of Students, Katherine Stetz, whose contact...
information is: 312-567-3080, kstetz@iit.edu, McCormick Tribune Student Center, 3201 South State Street, Room 210, Chicago.

B. Crimes that occur off campus:

Reports should be made first to local police by calling 911. After calling local police, then report the matter to the Department of Public Safety as noted above.

C. Crimes that occur abroad:

Reports should be made first to local police in the host country. After calling local police in the host country, then report the matter to the Department of Public Safety as noted above.

D. Campus Security Authorities:

Again, though individuals who are not Campus Security Officials are strongly encouraged to report crimes, potential crimes or suspicious activities or persons directly to the Department of Public Safety or, as appropriate, the Dean of Students or Title IX Coordinator, such reports can be made to the individuals and offices below for each campus, who will thereafter promptly notify the Department of Public Safety of the incident or event.

Mies Campus
“Residence Halls” – McCormick Student Village, John and Jeanne Rowe Village, George J. Kacek Hall, Gunsaulus Hall and Carman Hall, collectively

- Dean of Students at 312-567-3081 or dos@iit.edu.
- Associate Vice Provost for Residence Life and Housing at 312-808-5133 or housing@iit.edu
- Assistant Director of Community Standards at 312-567-5172 and or conduct@iit.edu
- The Office of Residence Life provided security desks, which are located at the Main Entrances of McCormick Student Village, John and Jeanne Rowe Village, George K. Kacek Hall, Carman Hall and Gunsaulus Hall, or the Office of Residence Life at 312-567-5075 or housing@iit.edu

Keating Hall

- Director of Athletics at 312-567-7124
- Door Guard at Main Entrance at 312-567-7130

General

- Dean of Students at 312-567-3081 or dos@iit.edu
- Assistant Director of Community Standards at 312-567-5172 or conduct@iit.edu
- IIT’s Title IX Coordinator, Virginia Foster, at 312-567-5725 or foster@iit.edu, whose office is in Room 2D7-1 of the IIT Tower, 10 West 35th Street in Chicago
- The Chicago Police or Fire Department can be reached at 911 for emergency assistance or 311 for non-emergency assistance
Conviser Law Center
Chicago-Kent College of Law
• Assistant Dean for Academic Administration and Student Affairs at 312-906-5282

Stuart Graduate School of Business
• Office of the Dean at 312-906-6500

General
• Public Safety in Lobby of Conviser Law Center at 312-906-5030
• IIT’s Title IX Coordinator, Virginia Foster, at 312-567-5725 or foster@iit.edu, whose office is in Room 2D7-1 of the IIT Tower, 10 West 35th Street in Chicago
• The Chicago Police or Fire Department can be reached at 911 for emergency assistance or 311 for non-emergency assistance

Moffett Campus
• At the Moffett Campus, Public Safety personnel can be reached at 708-563-8195
• Office of the Director of the Institute for Food Safety & Health at 708-563-1577
• IIT’s Title IX Coordinator, Virginia Foster, at 312-567-5725 or foester@iit.edu, whose office is in Room 2D7-1 of the IIT Tower, 10 West 35th Street in Chicago
• Dean of Students at 312-567-3081 or dos@iit.edu
• The Bedford Park Police Department can be reached at 911 for emergency assistance or 708-458-3388 for non-emergency assistance

Rice Campus
• At the Rice Campus, Public Safety personnel can be reached at 630-682-6054
• IIT’s Title IX Coordinator, Virginia Foster, at 312-567-5725 or foster@iit.edu, whose office is in Room 2D7-1 of the IIT Tower, 10 West 35th Street in Chicago
• Dean of Students at 312-567-3081 or dos@iit.edu
• The Wheaton Police Department may be contacted by dialing 911 for emergency assistance or 630-260-2161 for non-emergency assistance or information

IV. Crime Notifications

IIT makes reasonable efforts to inform members of the IIT community on a timely basis about campus crime and crime-related issues. These efforts include the following:

**Crime Alerts:** Notification to students and employees about the occurrence of serious crimes on or near campus that are considered a potential threat to students, faculty and staff.

**Timely Warnings:** Alerts of a potentially dangerous situation on or off campus that allow the campus community to take the appropriate precautions for their safety. Timely warnings can be issued for threats to property as well as threats to persons.

Crime Alerts and Timely Warnings may be accomplished by a variety of means, including, but not limited to, written notifications, text messages, e-mails, website posting, public address system, and/or alarm systems. The actual nature and scope of an alert or warning
and the means used to issue it will be dictated by the facts and circumstances of the particular situation; however, an alert or warning will not include the name of any victim or victims and will be issued so as to protect, to the extent practicable, the confidentiality of the victim or victims.

Further, crime statistics for the last three reporting periods are published in IIT's annual Campus Security and Campus Fire Safety Report, and the Department of Public Safety maintains a record of reported incidents for the most recent 60 day period that is open to the public at its office in Farr Hall during normal business hours, 8:00 a.m. to 5:00 p.m. A request to see reported incidents older than 60 days will be met within 2 business days after receipt of a request.

For more detailed information on crime alerts, timely warning and crime statistics, review IIT's annual Campus Security and Campus Fire Safety Report, which is available via the Department of Public Safety's home page at http://www.iit.edu/public_safety.

V. Reporting Suspected Child Abuse and Neglect

Minors (individuals under 18 years of age) may visit the campus for a number of reasons, including, but not limited to, visits as matriculated or prospective students or as part of an athletic, cultural, or academic camps or programs. Under the Illinois Abused and Neglected Child Reporting Act, IIT personnel are considered “mandated reporters” who must report to the Illinois Department of Children and Family Services (DCFS) at 1-800-25-ABUSE (1-800-252-2873) if the reporter has reasonable cause to believe that a minor, known to the reporter in his or her official or professional capacity, may be subjected to physical or sexual abuse, may be at risk of physical or sexual abuse, or is being deprived of proper or necessary care, for instance medical care, food and clothing, or shelter. In addition to the DCFS report, IIT personnel must also notify the Office of General Counsel that a report to DCFS has been (or will be) made.

DCFS offers an online training course to help Illinois mandated reporters understand their critical role in recognizing and reporting child abuse available at https://mr.dcfstraining.org/UserAuth/Login!loginPage.action;jsessionid=2448F4AFC193C70E566C6F389689F5D7.
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.
From 8 a.m. to 7:30 p.m., Monday through Friday, all calls regarding maintenance should be referred to the Department of Facilities at 312-567-3343 or ext. 7-3343, except for maintenance needs in the following facilities or areas, which should be referred to the Housing Office at 312-567-5075 or ext.7-5075:

- McCormick Student Village (Residence Halls)
- Apartment Complex
- Fraternities and Sororities

After regular business hours (i.e., prior to 8 a.m. or after 7:30 p.m., Monday through Friday) and during weekends and holidays, all maintenance emergencies should be directed to the Public Safety Department at 312-808-6300 or ext. 8-6300. The public safety dispatcher will direct an officer to investigate the appropriate course of action to resolve the maintenance concern.
Policies and Procedures Handbook  
Illinois Institute of Technology  

Subject: Safety, Identification, Classification and Handling of Hazardous Materials & Waste  

Procedure No.: E.4  
Date of Issue: 05/06  
Page 1 of 4  

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, 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;\textsuperscript{1,2,3}

   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 occurrence; and
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.  

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. 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.
I. General

This purchasing procedure is required by various governmental agencies to ensure maximum usage of capital equipment purchased under government contracts and grants.

II. Procedure

A. The purchasing procedure as outlined in the *Purchasing Manual* should be followed for project and contract research purchasing.

B. A database showing the location, supplier and original cost of all capital equipment (defined to mean equipment purchases in excess of $2,500 purchased with federal funds) will be generated and maintained by the Controller’s Office.
I. General

In the process of carrying out research, faculty members often make proposals to outside sponsors to support their research and to acquire equipment necessary for its conduct. The resulting gift, grant or contract is a legal agreement between the sponsor and the university.

Title to all equipment is vested in IIT, unless otherwise specified in writing at the time of acquisition. IIT reserves the right to retain research equipment to which it has title.

II. Policy

Non-consumable equipment and other items of value acquired with grant funds or from donors are the property of the university, not of the principal investigator. Should a principal investigator decide to leave IIT to pursue a career elsewhere, equipment acquired through contracts, grants or gifts shall remain the property of the university, as nearly all equipment can be used to the advantage of faculty members remaining at IIT.

In rare circumstances, a special piece of equipment, unique to a particular investigator’s needs and only usable by the investigator for his or her work, may have been acquired by gifts or with contract or grant funds. In these few cases, IIT will entertain proposals to transfer title to this equipment or property to the principal investigator’s new employer; however, under no circumstances will title of equipment be transferred to individuals.

III. Procedure for Transfer of Special or Unique Research Equipment

When a faculty member leaves IIT to take an appointment elsewhere, he or she may seek approval to transfer special items of equipment unique to research that can no longer be used by IIT. In this event, the following procedures must be followed:

A. The faculty member involved must provide an inventory of the items in question using the attached Disposal/Transfer/Sale of Inventory Equipment Form.

B. The faculty member involved must also request and obtain any necessary external sponsor or agency approval (in writing) and the parameters for the transfer of equipment, its use, and ultimate disposition. A copy of this
information must be included with all IIT documentation, including Departmental, Project Accounting, and Inventory Control files.

C. The request for transfer with the inventory of items will be reviewed by the chair of the Department and the dean of the Graduate College. They will give due consideration to IIT's continuing need for the equipment and the circumstances under which it was acquired.

D. The Inventory Control and Project Accounting Departments will then review the completed and approved inventory form, and any applicable sponsor or external agency documentation regarding sale or transfer, to verify accuracy of information and ensure compliance with applicable sponsor guidelines.

E. The dean of the Graduate College, dean of the respective academic college and chair of the Department or Institute will be responsible for the formal decision on the request, and approval of each is required for a transfer to be approved. This will be based upon the recommendations received from the individuals specified in the previous paragraphs and any other needs or obligations that IIT has with respect to the equipment.

F. If the transfer is approved, the following conditions will apply:

1. Items purchased solely with federal funds will be transferred at no charge; however, the title transfer document will require that the receiving institution assume the costs of shipping and insurance.

2. Equipment purchased with non-federal funds may or may not be transferred with reimbursement to IIT, depending on the policy of the sponsor.

3. Equipment donated to IIT may or may not be transferred with reimbursement to IIT, depending on the circumstances.

4. Equipment purchased with IIT funds will be transferred with payment by the receiving institution for the value of the equipment as assessed by IIT. A five-year depreciation schedule for scientific and computing equipment will customarily be used; however, if equipment is state-of-the-art, the determined value may differ from the depreciated value.

5. Equipment purchased with funds from a combination of sources may or may not be transferred with reimbursement, depending upon the funding sources.

G. The Inventory Control Department will record the transfer and relocation of the equipment in the fixed asset inventory system (FAIS) and coordinate with the IIT donating Department and receiving entity to facilitate transfer.
H. Funds received as a result of equipment transfers will be deposited in the Plant Fund controlled by the dean of the Graduate College and identified in a sub-account for the support of faculty research equipment.
# ILLINOIS INSTITUTE OF TECHNOLOGY
## DISPOSAL/TRANSFER/SALE OF INVENTORY EQUIPMENT FORM

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<tr>
<th>Tag #</th>
<th>Description</th>
<th>Serial/Model #</th>
<th>Location</th>
<th>T/D/S*</th>
<th>Sale/Transfer to*</th>
<th>Explanation</th>
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Approved: ..................................................................................................................

Department Contact: ......................................................................................................

Department Chairperson signature: ......................................................... Extension: E-mail:

To be completed by Inventory Control:

Inventory Control Approval: ............................................................... Project Accounting Approval (N/A if not required):

Signed: ..................................................................................................................

Signed: ..................................................................................................................

*T = Transferred equipment intra-university; D = Disposed equipment; S= Sale of equipment

**For intra-university transfers, list the location the equipment was transferred to, including building and room.

For sales list the purchaser.
Subject: Publications Policy, Names and Seals

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)
IIT recognizes that the timely and accurate dissemination of information is important to the overall functioning of the university. To that end, IIT has developed a process to inform campus constituencies about news, events and programs of concern to the university community.

I. Policy

The university shall use appropriate print and electronic communication mediums to communicate news and information that may be of interest to faculty, staff and students. In order to assure the appropriateness of such communication, all publications, broadcasts and voicemails and e-mails must be reviewed and approved by the Office of Communications or its designee.

Generally speaking, broadcasting of voicemail or email messages should be reserved for communication that, by its timeliness or significance, cannot be disseminated through routine communication channels identified below.

II. Procedure

A. Routine Communication

Departments or individuals wishing to communicate with the university community about special events, faculty/staff announcements, new policies and procedures, or non-urgent information should submit the item to one or more of the university's internal communications vehicles, including IIT Today, the official university online newsletter; and/or the University Calendar. IIT Today and the University Calendar are managed by the Office of Communications. Posters, brochures, event signage and other print communications also can be produced through the Office of Communications to reach internal and/or external audiences.

B. Urgent or Immediate Communication

Broadcast voicemail and broadcast email may be used when it is necessary to reach faculty, staff and students immediately:

1. Broadcast Voicemail

Broadcast voicemails are designed to communicate unanticipated occurrences to the Main Campus community-only that affect the university population (i.e., power outages, network system shutdowns, or public safety concerns). With few exceptions, non-urgent
information that will not immediately affect the majority of IIT phone system users will not be disseminated via the voicemail system. The Office of Communications, or its designee, will initiate broadcast voicemail messages on behalf of clients.

2. Broadcast Email

Similar to broadcast voicemails, broadcast emails should be used to release urgent information that must be communicated prior to the next edition of the IIT Today online newsletter. Broadcast emails disseminated by the Office of Communications may not be used as an alternative to memos, such as faculty/staff announcements, unless approved by the Office of the President or Office of the Provost.

The Office of Communications, or its designee, will send broadcast email messages on behalf of clients.

Departments or individuals that elect not to disseminate paper memos to all university employees may wish to distribute such information to a listserve of department heads along with a request that the department head circulate the information among staff members or during a staff meeting.

Department staffs are responsible for their own distribution to a listserve.
Subject: Social Media Policy

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.
I. Authorized Uses

A. To qualify for university postage, outgoing mail delivered to the campus post office must (i) contain official business, (ii) be enclosed in an IIT envelope with the department name and IIT return address and (iii) show a proper and complete mailing address.

B. Mail from sponsored organizations or societies may be handled upon payment of postage or with a properly completed interdivisional requisition (IDR).

C. Campus mail is not intended for personal business use, political campaign purposes or private commercial activities.

D. University organizations may purchase stamps from the post office with cash only.

E. Mailings consisting of 200 or more identical pieces may be appropriate for the bulk-mail rate. (See Procedure H.2.) Mail sent with the bulk-rate imprint is controlled exclusively by Office and Postal Services. Such mail may not be entered directly into the postal system without the approval of the manager of Office and Postal Services.

F. Personal mail with proper postage affixed will be dispatched from the campus post office.

II. Mail Delivery

A. Mail will be delivered in accordance with the schedule published by the campus post office director and distributed to each department and organization receiving mail from the campus post office.

B. All inter-campus mail intended for delivery by the campus post office must include the department name of the individual for whom the mail is intended. Mail not bearing the department of the addressee may be delayed. Inter-campus mail should be enclosed in an IIT interoffice envelope. If an interoffice envelope is not used, the words "Campus Mail" should appear on the face of the envelope. Large volumes of mail should be grouped into campus mail, U.S. mail (including Puerto Rico, the Virgin Islands and Guam), Canadian mail, Mexican mail and international mail.
C. All departments receiving mail from the campus post office should establish a designated mail pick-up/delivery area easily accessible by the mail clerk. When a designated mail pick-up/delivery area will not be accessible by the mail clerk, the department should designate an alternate pick-up/delivery area in its building.

III. Charges

A. Departments will be charged for all letter-sized mailings, at the current postal rate, or like items exceeding 25 pieces. Departments will be charged the current postal rate for all domestic and international "flat" mailings. Departments sending such mailings should prepare an IDR and place it with the mailing.

B. Departments will be charged for all mail requiring special services (e.g., express mail, UPS next-day service, UPS second-day air, registered mail or certified mail).

C. Departments will be charged for all parcels. An IDR should be prepared and placed with the parcel. Any piece of mail weighing over 11 ounces is considered a parcel.

IV. Method of Dispatch

Mail will be sent via the most economical method, as determined by post office personnel, unless the sender requests a specific method of dispatch. Letter-sized mail will normally be sent via the U.S. Post Office, but flats and parcels may be sent via UPS if the cost is less.

V. Preparation of Mailings

A. All standard letters should be facing the same direction with the flaps open in a tray or box. Flats should be sealed and facing the same direction in a tub or a box. Trays and tubs can be obtained at the campus post office.

B. The post office cannot process mailings that consist of sheets of papers folded in half or in thirds and stapled. This type of mailing will not go through the postage meter. All mailings should be placed in an appropriate-sized envelope.

C. Boxes should be well secured with packing tape. There should be no stickers or numbers from previous mailings on the box if the box is being reused. A complete mailing address should be placed in the middle to lower half of the front of the box. A complete return address, including department name, should appear in the upper left-hand corner. The upper right-hand corner should be free of tape or writing so that the proper postage may be affixed.
VI. General Information

Information about postal rates and regulations is available at the campus post office. Questions regarding postal rates, regulations and preparations of mailings should be directed to the campus post office director at ext. 7-3068.
Bulk mailings, both second and third class, of 200 or more identical pieces are handled completely by Office and Postal Services. The staff at Office and Postal Services provides all related service, including the printing of material, ordering labels, furnishing envelopes, inserting, metering and mailing.

Please note the following instructions and information:

1. Office and Postal Services must be advised well in advance of postage needs for mailings processed from Office and Postal Services or any outside mailing service.

2. An authorized IDR is required for any mailings charged to departmental or project funds.

3. The university will pay for bulk third-class postage for informational materials sent in the recruitment of students or for student information or services.

4. According to postal regulations all bulk mailings:
   a. Must be in zip code order.
   b. Each piece of mail must be identical.
   c. There must not be less than 200 pieces of mail.

5. Please allow at least three weeks for delivery out of state by the U.S. Postal Service.

If any assistance or information is needed in the preparation of a mailing, please call Office and Postal Services at ext. 7-3068 or via e-mail at http://officeservices.iit.edu/index.php.
I. Policy

Tuition rates and other charges are set by the Board of Trustees and must be adhered to, and no officer or designee is authorized to vary the rates. Tuition rates and other charges are published in IIT official publications, including website postings, and they remain in effect until changed by action of the Board of Trustees. IIT reserves the right to add, change, delete or otherwise affect any and all charges of the university at any time and without prior published notice.

II. Refunds of Tuition

A refund for tuition and other fees and charges may be issued only if a student’s written application for withdrawal is received in proper form by the university Registrar, within the time prescribed below. The date such application is received by the Registrar shall constitute the effective date of withdrawal.

Regular Session

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<th>WITHDRAWAL</th>
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<td>During first week of classes</td>
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Summer Session Only

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<tr>
<th>WITHDRAWAL</th>
<th>Percent of Refund</th>
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<tr>
<td>During first week of classes</td>
<td>100%</td>
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<tr>
<td>After first week of classes</td>
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No tuition will be charged, and a full refund will be made of any amounts paid, upon application supported by proof as necessary, under the following circumstances:

- If a course for which a student is registered is canceled by the university; or
- If death, or serious injury causing incapacity, occurs to a student before the end of the fifth week.

Under other exceptional circumstances, such as withdrawal for voluntary military service, serious illness or action by the university, consideration may be given for a
III. Payment of Tuition, Room and Board, and Other Fees and Charges

**Payment of all term charges to IIT is due on the first day of classes of each term.** For those unable to complete payment by that deadline, several payment plan options are available, but these options incur additional plan fees. Failure to adhere to any payment plan schedule will result in late fees in addition to any plan administrative fee. Payment plans may be canceled at the discretion of the university Bursar or other authorized officer in the case of any student with a record of late payments in which case tuition will be due in full at registration.

IV. Undergraduate Tuition

A. Full-Time Regular Student Registration

An undergraduate student is considered full-time when enrolled for twelve (12) credit hours or more. Full tuition is charged for enrollment for twelve (12) or more credit hours in day courses or a combination of day and evening courses.

B. Part-Time Regular and Special Student Registration

An undergraduate student is considered part-time when enrolled for less than (12) credit hours. Tuition is charged at the credit hour rate.

C. Auditing Courses

Audited courses will be charged at the same rate as courses taken for credit.

V. Graduate Tuition Other Than Chicago-Kent College of Law and Stuart Graduate School of Business

A. Full-Time Student Registration

A graduate student is considered full-time when enrolled for nine (9) credit hours or more. Tuition is generally charged at the credit hour rate.

B. Part-Time Student Registration

A graduate student is considered part-time when enrolled for less than nine (9) credit hours. Tuition is charged at the credit hour rate.

C. Auditing Courses

Audited courses will be charged at the same rate as courses taken for credit.
VI. Chicago-Kent College of Law

A. Full-Time and Part-Time Student Registration

A Chicago-Kent student is considered full-time when enrolled for twelve (12) credit hours or more. Depending upon the program, tuition may be charged at a set full-time rate or at the credit hour rate.

A Chicago-Kent student is considered part-time when enrolled for less than twelve (12) credit hours. Tuition is generally charged at the credit hour rate.

B. Auditing Courses

Audited courses will be charged at the same rate as courses taken for credit.

VII. Stuart Graduate School of Business

A. Full-Time and Part-Time Student Registration

A Stuart Graduate Business student is considered full-time when enrolled for 10.8 credit hours or more. Tuition is generally charged at the credit hour rate.

A Stuart Graduate Business student is considered part-time when enrolled for less than 10.8 credit hours. Tuition is generally charged at the credit hour rate.

B. Auditing Courses

Audited courses will be charged at the same rate as courses taken for credit.

VIII. Fees and Related Costs Assessed by the University

IIT may charge other fees in addition to tuition and room and board as determined by the university and approved by the Board of Trustees. These other charges may be both mandatory and non-mandatory. All University charges are published in IIT official publications, including website postings.

IX. Tuition for Off-Campus Students in the ROTC Program

Contact the campus ROTC administrator for current rates.
I. Purpose

In order to protect customers’ (as defined below) nonpublic personal financial information (as defined below) from disclosure and to comply with federal regulations mandated by the Gramm-Leach-Bliley Act (the “Act”) and the Federal Trade Commission’s Standards for Safeguarding Customer Information (the “Standards”), the University must establish and maintain a comprehensive information security program. This Policy describes the University’s program for implementing the requirements of the Act and the Standards so as to meet the following objectives:

1. Ensure the security and confidentiality of customers’ nonpublic personal financial information records;
2. Protect against any anticipated threats or hazards to the security or integrity of such records; and
3. Protect against the unauthorized access to or use of such records or information that could result in substantial harm or inconvenience to customers.

II. Policy

It is the policy of IIT to manage nonpublic personal financial information collected from customers as confidential records. IIT has developed and will continue to develop appropriate procedures to protect such financial information against reasonable threats and hazards and unauthorized access or use of such records that could result in substantial harm or inconvenience to customers.

The University Bursar is IIT's Information Security Program Officer (the “Program Officer”). The Program Officer, in consultation and coordination with the Directors of Financial Aid, Chief Information Officer and Controller, is responsible for overseeing the implementation of IIT's Information Security Program, as set forth in this Policy (the “Program”) and for ensuring the overall security of electronic systems and infrastructure for the University, including undertaking risk assessment, security awareness, data security, threat detection and monitoring and controlling systems activities that are reasonable given the size and complexity of the University, the nature and scope of its activities and the sensitivity of the nonpublic personal financial information at issue. The Program Officer may designate, as necessary, other representatives of the University to oversee and coordinate additional elements of the Program.
III. Definitions

“Customer” means students, parents or other third parties who have disclosed nonpublic personal financial information when applying for and/or obtaining from IIT a financial service or product, including, but not limited to, the application and administration of student loans, scholarships and grants, the payment of tuition and fees or processing of tuition deferment agreements, the admission application process, collection activities and employee background checks.

“Nonpublic Personal Financial Information” means any paper or electronic record containing nonpublic personal financial information provided by students or others in order to obtain a financial product or service from the University, including, without limitation, loan applications, bank and credit card numbers, account histories, Social Security numbers, income tax returns, credit reports and other related customer information.

IV. No Third Party Rights

While this Policy is intended to promote the security of information, it does not create any consumer, customer or other third-party rights or remedies or establish or increase any standards of care that would otherwise not be applicable.

V. Procedures

A. General

Consistent with the Act and the Standards, all Offices of Financial Aid, the Office of the Bursar and any other department that collects nonpublic personal financial information must, at reasonable intervals, evaluate and update their risk assessment and related information safeguards in light of testing and monitoring results, material changes to their operations or any other known circumstance that may have a material impact on the security of nonpublic personal financial information.

B. Securing Information

Departments should periodically assess the safeguards they have in place to protect not only nonpublic personal financial information, but also all confidential University data. Specific safeguarding practices that departments must assess, and if necessary, implement and include in employee training, include:

1. Maintaining physical security by locking rooms and file cabinets where nonpublic personal financial information and other sensitive information is stored or electronic storage is housed. Procedures should include ensuring that windows and doors are locked when areas are unoccupied and restricting access to areas where sensitive data exists.

2. Maintaining adequate key control and limiting access to sensitive areas to those individuals with appropriate clearance which require access to the area to carry out their assigned job duties.
3. Using authentication processes (such as secure passwords) and granting access privileges only to authorized personnel with legitimate business need to authorize and enforce a user’s access to and actions towards specified resources.

4. Using firewalls and encrypting information when feasible.

5. Referring calls and mail requesting customer information to those individuals who have been trained in safeguarding information.

6. Shredding and erasing customer information when they no longer need to be maintained under IIT’s Record and E-mail Retention Policy (Procedure No. Q.4).

7. Encouraging employees to report suspicious activity to supervisors.

8. Ensuring that agreements with third-party contractors who have access to nonpublic personal financial information collected by the University contain safeguarding provisions and monitoring those agreements to oversee compliance with the privacy and safeguarding provisions of the Act and the Standards.

9. Ensuring that electronic hardware, electronic operating systems, software upgrades and other electronic means of storing and manipulating data are installed and configured to maintain adequate security of nonpublic personal financial information.

C. Training

Departments that collect nonpublic personal financial information should ensure that all new and existing employees who are involved in activities covered under the Act and the Standards receive periodic safeguarding training. Training should, at a minimum, encompass the nine “Securing Information” items listed above in Section B. The Program Officer should establish a training program and designate person(s) to conduct training sessions.

D. Monitoring and Detection

Department heads and responsible departmental personnel, in consultation with the Office of Technology Services, must on an on-going basis periodically assess the vulnerabilities of their electronic as well as paper-based systems and propose improvements as needed.

E. Managing System Failures

If despite the reasonable precautions taken to secure and protect University systems and data a security breach occurs, immediate steps should be taken to correct such breach. Anyone who has reason to suspect a deliberate or significant breach of established security policy or procedure should promptly report it to their supervisor.
and the Program Officer. Affected customers may also need to be notified after the department consults with the appropriate areas within the University. Examples of significant failures would include a successful hacking effort, a burglary or impersonations leading to the defrauding of customers.

VI. Related Policies

The University is deemed to be in compliance with the privacy provisions of the Act and the Standards because it complies with the Family Educational Records and Privacy Act (“FERPA”). See http://www.enrollment.iit.edu/registrar/ferpa/ for information on IIT’s FERPA obligations. As with student records under FERPA, nonpublic personal financial information should not be released to outside parties, except in the following circumstances:

1. When a customer makes a written request for such disclosure
2. In furtherance of a transaction or services requested by the student;
3. As permitted or required by law or court order; or
4. To authorized third-party affiliates of IIT, but only to the extent necessary to further the transaction or service, such as a collection agency, credit bureau, loan processor or background checking entity.

In addition, the following Policies and laws supplement and help to create a comprehensive information security plan are incorporated by reference into the Program:

- Use of Computer Resources (Procedure No. Q.3)
- Records and E-Mail Retention Policy (Procedure No. Q.4)
- Illinois Personal Information Protection Act (815 ILCS 530/1 et seq.)
- Family Educational Records and Privacy Act (20 U.S.C. 1232g)
This policy (i) establishes the authority for cash management and the acceptance of payments to the university for the following: tuition, meals and room, guest lodging, gifts and donations, departmental activities, including conferences, parking permits and parking tickets, and all other types of remittances, and (ii) designates the areas authorized to accept payments and directs the handling of remittances, to assure the safest and most expeditious processing.

I. General Instructions

A. Cash is defined as but not limited to currency, personal or corporate checks, cashier’s checks, money orders, credit card receipts and appropriate receipt documents.

B. Cash should not be sent through the mail.

C. For the security and protection of the funds, all cash remittances should be made at the Cashier’s Office – Main Campus or at the Bursar’s Office – Downtown Campus. However, there may be special circumstances when it is necessary to collect cash outside of these areas. In such cases, the Bursar and Controller must be apprised of the potential for collection in advance, and the Bursar will be responsible for ensuring that proper controls are implemented. Any cash collected under these special circumstances should be deposited with the Cashier immediately after collection.

D. All invoices should state this policy, and it should be highlighted in bulletins and other student materials.

No other department or satellite campus is authorized to accept cash remittances without the prior approval of the Bursar, except for the following service-related areas:

Hermann Union Building: Snack shop

MTCC: Recreational areas, food service areas, post office, parking office, and bookstore

Downtown Campus: Information center, library, law office, document center, and Office of Administration and Finance.

The above offices are required to prepare and account for receipts independently, maintain adequate collection records and provide appropriate safeguards over remittances until funds are deposited.
All personal checks, company checks, traveler's checks, money orders, Visa, Discover or MasterCard credit card charges and endorsements on bank checks for student loans must be made out to Illinois Institute of Technology.

II. Student Remittances

A. Application fees and deposits from prospective students

The admission and registration offices at IIT and the satellite campuses are authorized to accept these types of payments from applicants and new students. Each office is required to prepare receipts for payments. They must also maintain adequate collection records and provide appropriate safeguards over remittances until the funds are forwarded daily to the Bursar's Office or mailed to the IIT lockbox.

B. Housing application fees and non-refundable deposits

The Housing Office is authorized to accept the above remittances sent from the Office of Undergraduate Admission or other sources along with the signed housing and rent contracts. The Housing Office is required to prepare receipts, maintain adequate collection records and provide appropriate safeguards over remittances until the funds are forwarded daily to the Bursar’s Office or mailed to the IIT lockbox.

Note: When the Housing Office conducts collection activities on past due accounts, the remittances should be deposited with the Bursar’s Office during working hours or mailed directly to the IIT lock box.

C. All other student payments, including tuition, fees, room and board and apartment rents.

The Cashiers’ Office – Main Campus and the Bursar’s Office – Downtown Campus are the only offices authorized to accept the above payments from students.

To expedite processing, students making payments by check or money order should be informed to mail such payments directly to the IIT lockbox. The remittance portion on all student invoices will direct payments to the lockbox address and pre-addressed mailing envelopes will be sent with all billing statements.

III. Departmental Functions

All payments for departmental activities must go directly to the Bursar's Office and not to the department. Copies of the checks along with any remittance enclosures will be forwarded to the department once the checks are deposited.
IV. Petty Cash Funds

No petty cash funds will be maintained at the Main Campus unless specifically authorized by the Chief Financial Officer (or his or her designee). Therefore, cash reimbursements for expenses under $150 for students, faculty and staff should be obtained at the Cashier’s Office – Main Campus and Bursar’s Office – Downtown Campus after approvals by the appropriate department head and by the Controller’s Office for the Main Campus and by the Associate Vice President Finance and Administration for the Downtown Campus.

If duly authorized, a petty cash fund may be established to reimburse staff for payment of operating expenditures incurred. The expenditures are limited to $150. If establish a petty cash fund must be reconciled on a monthly basis by the department or office maintaining the fund.

V. Payroll Check Cashing

See Check Cashing Policy, Procedure No. I.1.

VI. Personal Cash Checking

See Check Cashing Policy, Procedure No. I.1.

VII. Gifts and Donations

The development, alumni affairs and multicultural offices will direct checks for gifts, donations and alumni events to the development lockbox. Any office that receives a check for gift or donation should immediately endorse the item with a restricted endorsement stamp (i.e., “Deposit only to the account of Illinois Institute of Technology”) and then immediately deliver the item to the Controller’s Office – Main Campus.

VIII. Transcripts

All requests for transcripts, including those from satellite locations, should be accompanied by check, credit card information or money order. Cash payments should be made to the Cashier’s Office – Main Campus or at the Bursar’s Office – Downtown Campus.
Funds for organized research and training programs are limited to those amounts secured from sponsors. Project expenditures must be carefully controlled to ensure that total expenditures do not exceed funds available and that expenditures are allowable under sponsor guidelines. Control rests primarily with the principal investigator. To control and monitor expenditures, the procedure outlined below should be followed.

I. Principal investigators and department heads are responsible for ensuring that projects assigned to them are performed within budgeted appropriations.

II. The Project Accounting Department will submit to each department head and principal investigator, on a monthly basis, a copy of the cost sheet with expenses of each category as well as the total cumulative costs for each project. Furthermore, when 75 percent of funds are expended, or three months before a project’s expiration date, whichever comes first, the Project Accounting Department will notify the project’s principal investigator of all project funds expended and any remaining balance in the fund account.

III. The principal investigator must submit the final report, as defined in the notice of award, to the Office of Sponsored Research and Programs.

IV. Purchase requisitions, payroll authorizations or other commitments will not be processed on any project unless funds are available. Requisitions and authorizations will be returned to the principal investigator with written notice in the event that funds are not available.

V. Should an overdraft occur, the principal investigator will be notified and given the opportunity to provide an unrestricted account to which the overdraft will be charged. If no account is provided within 60 days of notification of the overdraft, the amount will be charged against the departmental account to which the project is assigned.

VI. All requests for expenditures on sponsored agreements must be reviewed by the Project Accounting Department to determine if project funds are available and whether expenditures are allowable under sponsor guidelines before being processed for purchases or payment.
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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>
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<tr>
<td>Main Campus</td>
<td>Rice Campus</td>
<td>36 Miles</td>
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<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>
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</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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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 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.
Subject: Books and Supplies on Scholarship

All books and supplies issued by the University or its contracted third party Bookstore that are to be charged to existing scholarship funds or to be invoiced in accordance with our agreement with the scholarship sponsor or with governmental agencies (other than the Veterans’ Administration) will be handled in the following manner.

I. All books and supplies requested by students who have excess financial aid must be authorized by the Bursar Office.

II. NROTC students’ books and supplies will be authorized by the NROTC unit on the IIT campus.

III. Books and supplies that will be paid for by other governmental agencies, and any other sponsors not listed above, will be approved by the Bursar Office.

IV. All authorizations for the issuance of books and supplies must reflect dollar limitations.

V. All books and supplies authorized must be purchased before the fourth week of the semester involved. The authorization must reflect this time limit.

VI. The University or its contracted third party Bookstore will process all charge slips for books and supplies issued as authorized by this procedure.

VII. The Bursar Office will accumulate the charge slips and will charge the appropriate students’ accounts or provide an invoice to the appropriate sponsor promptly upon the receipt of all information pertaining to all books and supplies issued for the term.

VIII. The Registrar’s Office will accumulate the charge slips and will charge the Veterans Administration for the appropriate students’ accounts.
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 practicable.  
• No self-approval is allowed on federal funds. |
<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>● <em>Use of Preferred Suppliers strongly recommended</em>&lt;br&gt; ● No documentation required.&lt;br&gt; ● 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>● <em>Use of Preferred Suppliers strongly recommended, OR</em>&lt;br&gt; ● Obtain at least 3 documented quotes&lt;br&gt; ● Complete Vendor Selection Form (VSF) to summarize the quotes, and indicate the chosen vendor.&lt;br&gt; ● Purchases should be distributed equitably among qualified diverse / disadvantaged suppliers to the extent practical.</td>
</tr>
<tr>
<td>Large Purchases (Formal Bidding and RFP process required)</td>
<td>&gt; $250,000</td>
<td>● Obtain at least 3 documented quotes.&lt;br&gt; ● Complete Vendor Selection Form (VSF) to summarize the quotes, and indicate the chosen vendor, <strong>OR</strong> complete a formal written bidding/RFP/RFQ process.</td>
</tr>
</tbody>
</table>

For additional information, please refer to [Uniform Guidance 200.320 Methods of procurement to be followed](#).

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 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>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Services (Especially On Campus / Onsite Services)</td>
<td>✓</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Institutional Memberships and Conference/Seminar Registrations</td>
<td>✓</td>
<td>✓</td>
<td>X</td>
<td>✓</td>
</tr>
<tr>
<td>Staff and Faculty Travel Related Expenses (Air, Hotel, Meals, Uber, etc.)</td>
<td>X</td>
<td>✓</td>
<td>X</td>
<td>✓</td>
</tr>
<tr>
<td>Payment of Illinois Tech Student Reimbursement</td>
<td>X</td>
<td>X</td>
<td>✓</td>
<td>X</td>
</tr>
<tr>
<td>Wire Transfer Requests</td>
<td>✓</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Must <strong>ALWAYS</strong> go through Buy It Requisitions • Industrial alcohol • Animals • Hazardous chemicals / material • Drugs • Radioactive material/waste • Professional/Consulting services</td>
<td>✓</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

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
The university provides apartments, residence halls and guest accommodations to the students, faculty and staff of IIT and their guests.

I. Apartments

A. University apartments are available to graduate students, married undergraduate students, staff and faculty. The apartments range from studios with one bath to three-bedroom units with two baths. Although rent includes heat and electricity, telephone service, air conditioning, air-conditioning electric-usage fees and cable television hook-up are options that will require additional monthly out-of-pocket expenses.

B. All leases are for 12 months. When available, a short-term lease of six to 11 months may be allowed at a rate 10 percent higher than the annual rental rate.

C. A non-refundable application fee is required at the time of application, and a confirmation reservation fee must be paid upon acceptance of an offer. This reservation fee will apply to the security deposit at the time of move-in. If an accepted offer is cancelled, the reservation fee is forfeited. Rent is due by the tenth day of each month or a late fee is imposed automatically.

D. Contact the Housing Office or log onto the housing website at http://www.iit.edu/housing/ for current rental rate information.

II. Residence Halls

A. All residence hall contracts are for the entire academic year or remaining portion thereof. A non-refundable initial deposit is required at the time of application.

B. During the term of occupancy, students who voluntarily withdraw or are required to leave for disciplinary reasons will forfeit the initial deposit and will be assessed charges as specified on the Rate Sheet available in the Housing Office.

C. Room assignments are made without regard to race, creed or national origin. Full-time freshmen who do not reside with their parents or legal guardian are required to live on campus. All residents are required to participate in a board plan.
D. The residence hall contract is automatically terminated and students must check out of their rooms whenever they are no longer enrolled for the current semester.

E. Unlike the State Street Village complex, which does not close over the holiday break and to which this policy does not apply, The McCormick Student Village complex closes between the fall and spring semesters. Students who require housing during this break must apply, via instructions from the Rooms Coordinator, for permission to remain in the halls, as an extra-cost accommodation.

F. For more detailed information regarding current cost and opening and closing schedules, contact the Rooms Coordinator or check the housing website at http://www.iit.edu/housing/.

III. Guest Suites

A. The university has 12 guest suites available for rental to guests of resident students, faculty and staff. The guest suites range from studios to one-bedroom units. These accommodations can be reserved by the night, week or month.

B. For more information on guest suite rates or availability, contact the Housing Office or log onto the housing website at http://www.iit.edu/housing/.

IV. Fees

A current fee schedule, including amounts to be deposited, is available from the Housing Office.
It is important that the Barnes & Noble College Bookstore has available all of the required or recommended books prior to the beginning of each term. To that end, an effective system of information gathering, order placement and follow-up is essential so that texts are available when needed.

I. The bookstore will send book requisition forms with instructions to each department at least four weeks before the requisition’s due date. Typical due dates for book requisitions will be:

A. Third week in October for spring semester,
B. Last week in March for summer semester, and
C. Last week in April for fall semester.

II. Each academic department chairman will designate a person responsible for distributing requisition forms to faculty in their department and for collecting these forms. All requisition forms should be checked for accuracy and completeness.

III. The Bookstore should be notified of the person designated to be in charge of textbook matters for the department so that there can be close communication and proper channels for informing departments about out-of-stock books, out-of-print books, delivery problems and any other information regarding the status of textbooks. The instructors in each department should also be notified who their liaison will be.

IV. Each book requisition must be approved by the department chairman, and all requisition forms should be forwarded to the Bookstore by the deadline dates established above.

V. Each department will report to the bookstore as soon as possible all canceled courses and any significant changes in class enrollment figures.

VI. In addition to the above procedures, the following guidelines will ensure that textbooks will be available for each course offered each semester.

A. Enrollment estimates should be realistic

1. Use last semester's class enrollment figures as a guideline.
2. Include all day and evening courses and off-campus extension courses.
3. Obtain past history from the Bookstore, which is to be recorded on inventory cards or other means acceptable to IIT (from term to term)
4. If a book is being used for two continuous semesters, this fact should be noted on the submitted book request form, e.g. fall part 1; spring, part 2.
B. Each department chairman should establish a procedure for ordering textbooks for courses in which instructors have not been selected at the time requisitions are due.

C. Once a book has been ordered, it should not be changed within four weeks of the new semester. Students should be told by the instructor whether a book is optional or required, and this information should agree with the ordering information the bookstore receives.

D. Instructors should not expect to assign books that they may have seen in the bookstore unless ordered.

E. Publishers' representatives may try to get new adoptions for books not actually in print. A book will not be available unless the title has actually been printed.

F. The Bookstore should be sent information on all courses offered regardless of whether a text is being used. In cases where there is no title listed, information should be provided such as "No Text" or "To Be Assigned Later." This information is important when preparing the book lists for student use.
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.
A student registered full-time for cooperative education is considered by the university to be a full-time student during that time when he or she is gaining related professional experience in industry.

To accommodate students who are enrolled in co-op only, but who live on campus and use the campus facilities during this period, validation of the student I.D. card will be made by the Office of Student Records and Registration or by the bursar.
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: ________________________________
Policies and Procedures Handbook
Illinois Institute of Technology

Procedure No.: P.2
Date of Issue: 6/12

Subject: Investigator Conflict of Interest and Conflict of Commitment Policy

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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; and

(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, Discrimination 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](http://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.
C. Harassment.

Conduct that constitutes sexual harassment or sexual misconduct, including Title IX Sexual Harassment, under applicable policies, including, but not limited to Sections E of the Human Resources Policies and Procedures Manual, Articles II and III of the Student Handbook, and Appendix M of the Faculty Handbook should be reported in accordance with the procedures set forth therein.

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.

IV. Duty of Honesty

Any employee who makes a complaint, report or allegation of any kind against another is expected to do so in good faith. Any employee who cooperates in any investigation is intended to provide accurate information to the best of their knowledge. It shall be a violation of this policy for any employee to make a false or frivolous charge to provide false of frivolous information to the university. A false and frivolous charge refer to cases where the accuser is using a complaint to accomplish some end other than stopping the alleged misconduct, including, but not limited to, making a complaint based on information that they knew to be or should have known to be false. It does not refer to a charge made in good faith which cannot be proven. False and frivolous information refers to information that the provider knew or reasonably should have known to be untrue.
I. DRUG-FREE SCHOOLS AND COMMUNITIES ACT AMENDMENTS

The Drug-Free Workplace Act of 1988 and the Drug-Free Schools and Communities Act Amendments of 1989 require an institution of higher education, as a condition of receiving funds or any other form of financial assistance under any federal program, to certify that it has adopted and implemented a drug prevention program to prevent the unlawful possession, use, or distribution of illicit drugs and alcohol by students and employees. Illinois Tech fully supports the objectives of these laws. As part of its drug prevention program for students and employees, Illinois Tech annually distributes in writing and/or e-mails to each student and employee the following information:

1. Standards of conduct that clearly prohibit the unlawful possession, use, or distribution of illicit drugs and alcohol by students and employees on its property or as part of any of its activities;
2. A description of the applicable legal sanctions under local, state, or federal law for the unlawful possession or distribution of illicit drugs and alcohol;
3. A description of the health risks associated with the use of illicit drugs and the abuse of alcohol;
4. A description of available drug and alcohol counseling, treatment, or rehabilitation or re-entry programs; and
5. A clear statement of the disciplinary sanctions that the University will impose on students and employees who violate the standards of conduct.

Illinois Tech, through the coordinated efforts of its Office of Student Affairs and Department of Human Resources, conducts biennial reviews of its drug and alcohol abuse prevention programs to determine their effectiveness, implement changes as needed, and ensure that the disciplinary sanctions are consistently enforced.

Illinois Tech recognizes both alcohol and drug abuse as potential health, safety, and security problems. Illinois Tech expects its students and employees to cooperate in maintaining a campus environment free from the effects of alcohol and other drugs and to comply with this policy.

II. STANDARDS OF CONDUCT AT ILLINOIS TECH

All members of the Illinois Tech community are responsible for being familiar and complying with the requirements of federal laws, Illinois statutes and Chicago ordinances concerning the consumption, possession, and sale of alcohol and other drugs. Illinois Tech expects each member of its community to be responsible for his or her own conduct and the consequences of that conduct.

Illinois Tech recognizes both alcohol and drug abuse as potential health, safety, and security problems, and Illinois Tech expects faculty, students, and staff to assist in maintaining a campus environment free from the effects of alcohol and other drugs.

Illinois Tech prohibits all students and employees from engaging in any manner in the unlawful manufacture, possession, use, distribution, sale, or purchase of alcohol and other drugs on Illinois Tech premises, in Illinois Tech vehicles or as part of any Illinois Tech activity as well as from working under the influence of alcohol or illicit drugs. The only exception to this provision applies to moderate consumption and/or possession of alcohol on Illinois Tech premises at approved functions (e.g., receptions) by those legally permitted to consume or distribute alcohol. Besides the legal restrictions, Illinois Tech maintains rules governing where, when and how alcohol may be served at events on
campus, and all students and employees must comply with these rules, which are available at the following link: [http://web.iit.edu/sites/web/files/departments/general-counsel/policies/procedure_c4_service_of_alcoholic_beverages.pdf](http://web.iit.edu/sites/web/files/departments/general-counsel/policies/procedure_c4_service_of_alcoholic_beverages.pdf).

In addition to these general standards of conduct, areas of Illinois Tech may also have specific drug and alcohol policies and procedures relating to their activities (e.g., housing facilities, Athletics, Office of Campus Life); please consult them for details.

Finally, all employees, including student employees, are required to be able to perform their jobs. If an employee may be impaired by medication taken according to a doctor’s prescription or the medication’s directions, he or she is expected to discuss it with his or her supervisor.

### III. LEGAL SANCTIONS

Various federal and state laws prohibit the possession, distribution, and use of controlled substances, unless in compliance with licensing requirements or a physician’s prescription. Moreover, Illinois law prohibits the consumption and possession of alcohol by persons under the age of 21 and the supplying of alcohol to any person under the age of 21. Additionally, Illinois law prohibits the sale of alcoholic beverages except by those licensed to sell such beverages. Illinois law and City ordinances also prohibit public intoxication to a degree that it endangers people or property or annoys people in the vicinity, the operation of a vehicle under the influence of alcohol or other intoxicants, and the consumption of alcohol on a public way. Violation of these laws or other laws relating to drugs and alcohol may result in probation, fines, imprisonment, and permanent criminal record. Violation of drug laws may also result in civil seizure and forfeiture of property used in connection with the offense. A violation may also result in University disciplinary action.

The following sections set forth in greater detail federal and state statutes with respect to illicit drug trafficking and possession, state statutes regarding alcohol use by minors, and other laws related to drugs and alcohol.

#### A. FEDERAL DRUG SANCTIONS

In sum, federal law penalizes the manufacture, distribution, possession with intent to manufacture or distribute, and simple possession of drugs (“controlled substances”). The scheduled of controlled substances can be found at [https://www.dea.gov/drug-scheduling](https://www.dea.gov/drug-scheduling). **NOTE: UNDER FEDERAL LAW MARIJUANA (CANNIBAS) IS A CONTROLLED SUBSTANCE.** Federal penalties and sanctions for the simple possession of a controlled substance are quite severe. As summarized below, the law sets forth sentences and fines that can include the following:

- **First conviction:** Up to one-year imprisonment, a fine of at least $1,000, or both.
- **After one prior drug conviction:** At least 15 days in prison, not to exceed two years, and a fine of at least $2,500.
- **After two or more prior drug convictions:** At least 90 days in prison, not to exceed three years, and a fine of at least $5,000. **Note:** A special, harsher sentencing provision applies for possession of flunitrazepam (Rohypnol). (21 U.S.C. §844(a))
- **Forfeiture of personal and real property used to possess or to facilitate possession of a controlled substance if that offense is punishable by more than one-year imprisonment, as well as forfeiture of vehicles, boats, aircraft, or any other conveyance used to transport or conceal a controlled substance.** (21 U.S.C. §§853(a) & 881(a))
- **Suspension of eligibility for federal financial aid for students convicted under federal or state law for the sale or possession of drugs, including, but not limited to, federal grants, loans, and federal work study programs. Students convicted of drug possession will be ineligible for one year from the date of the conviction of the first offense, two years for the second offense, and indefinitely for the third offense. Students convicted of selling drugs will be ineligible for two**
years from the date of the first conviction, and indefinitely for the second offense. Those who lose eligibility can seek to regain eligibility by successfully completing an approved drug rehabilitation program. (20 U.S.C. §1091(r))

- Denial and/or revocation of federal benefits, such as grants, contracts, loans and professional and commercial licenses, up to five years for the first offense, up to 10 years for the second offense, and permanently upon the third offense. (21 U.S.C. §862) (Authority to deny or revoke federal licenses and benefits is generally vested within the granting federal agencies.)
- Ineligibility to receive or purchase a firearm. (18 U.S.C. §922(g))

Penalties may be doubled, however, when a person at least 18 years old: (1) distributes a controlled substance to a person under 21 years of age (a term of imprisonment for this offense shall not be less than one year), and/or (2) distributes, possesses with intent to distribute, or manufactures a controlled substance in or on, or within 1,000 feet of, the real property comprising a public or private elementary or secondary school, or a public or private college. (21 U.S.C. §§859 & 860)

Federal penalties and sanctions for trafficking in controlled substances are considerably more severe than those outlined previously for simple possession. A chart outlining the most current federal trafficking penalties for substances covered by the Controlled Substances Act, prepared by the Drug Enforcement Agency of the U.S. Department of Justice, is at the following link: https://www.dea.gov/sites/default/files/2018-06/drug_of_abuse.pdf#page=30.

B. STATE DRUG SANCTIONS

Illinois statutes cover a wide range of drug offenses. See 720 ILCS 550/1, et seq. (cannabis); 720 ILCS 570/401, et seq. (other controlled substances). Sentences and fines for simple possession of various controlled substances are summarized below. (Penalties may include prison terms and/or fines. Under Illinois law, conviction of a drug possession offense results in a fine of no less than full street value of the substance seized, in addition to all other penalties.)

Under the Illinois Cannabis Control Act, 720 ILCS 550/1, et seq., Illinois residents aged 21 and older can buy medical and recreational marijuana products but only from licensed sellers. Illinois residents can legally possess 30 grams, or about an ounce, of cannabis flower. The legal limit for cannabis concentrate is 5 grams, and the limit for cannabis-infused products, such as edibles or tinctures, is 500 milligrams of THC, the chemical that gets users high. Illinois visitors are allowed to possess half of those amounts. Possessing marijuana other than as allowed by the Illinois Cannabis Control Act can result in fines and imprisonment. See Section 4 of the Illinois Cannabis Control Act at https://www.ilga.gov/legislation/ilcs/ilcs3.asp?ActID=1937&ChapterID=53 for further specifics. Moreover, it remains a crime for individuals to manufacture or distribute marijuana as Illinois law only permits manufacture and distribution by duly licensed operators in accordance with the Illinois Cannabis Control Act.

NOTE: NOTWITHSTANDNG THE FACT THAT THE STATE OF ILLINOIS HAS LEGALIZED, AS DESCRIBED ABOVE, THE POSSESSION OF MARIJUANA (CANNABIS) FOR PERSONAL USE, AS NOTED ABOVE, UNDER FEDERAL LAW, MARIJUANA (CANNABIS) REMAINS A CONTROLLED SUBSTANCE. AS A RESULT, ILLINOIS TECH IS REQUIRED UNDER OTHER FEDERAL LAWS TO PROHIBIT POSSESSION OF THE SAME, AND IT REMAINS THE POLICY OF ILLINOIS TECH THAT POSSESSION OF MARIJUANA (CANNABIS) IS PROHIBIT ON ANY ILLINOIS TECH PROPERTY OR AT ILLINOIS TECH EVENTS. ANY STUDENT OR EMPLOYEE WHO VIOLATES THIS POLICY IS SUBJECT TO DISCIPLINARY.

Any substance containing HEROIN

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
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<tbody>
<tr>
<td>15-&lt;100 gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $200,000</td>
</tr>
<tr>
<td>Amount</td>
<td>Felony Status</td>
<td>Prison Term</td>
<td>Fine</td>
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</tr>
<tr>
<td>100-&lt;400 gm</td>
<td>Class 1</td>
<td>6-30 years</td>
<td>Up to greater of $200,000 or full street value</td>
</tr>
<tr>
<td>400-&lt;900 gm</td>
<td>Class 1</td>
<td>8-40 years</td>
<td>Up to greater of $200,000 or full street value</td>
</tr>
<tr>
<td>900+ gm</td>
<td>Class 1</td>
<td>10-50 years</td>
<td>Up to greater of $200,000 or full street value</td>
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Any substance containing COCAINE

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<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
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<td>400-&lt;900 gm</td>
<td>Class 1</td>
<td>8-40 years</td>
<td>Up to greater of $200,000 or full street value</td>
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<tr>
<td>900+ gm</td>
<td>Class 1</td>
<td>10-50 years</td>
<td>Up to greater of $200,000 or full street value</td>
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Any substance containing MORPHINE

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<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
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<tbody>
<tr>
<td>15-&lt;100 gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $200,000</td>
</tr>
<tr>
<td>100-&lt;400 gm</td>
<td>Class 1</td>
<td>6-30 years</td>
<td>Up to greater of $200,000 or full street value</td>
</tr>
<tr>
<td>400-&lt;900 gm</td>
<td>Class 1</td>
<td>8-40 years</td>
<td>Up to greater of $200,000 or full street value</td>
</tr>
<tr>
<td>900+ gm</td>
<td>Class 1</td>
<td>10-50 years</td>
<td>Up to greater of $200,000 or full street value</td>
</tr>
</tbody>
</table>

Any substance containing PEYOTE

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>200+ gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $200,000</td>
</tr>
</tbody>
</table>

Any substance containing a derivative of BARBITURIC ACID

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>200+ gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $200,000</td>
</tr>
</tbody>
</table>

Any substance containing AMPHETAMINE

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>200+ gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $200,000</td>
</tr>
</tbody>
</table>

Any substance containing METHAMPHETAMINE

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>&lt;5 gm</td>
<td>Class 3</td>
<td>2-5 years</td>
<td>Up to $25,000</td>
</tr>
<tr>
<td>5-&lt;15 gm</td>
<td>Class 2</td>
<td>3-7 years</td>
<td>Up to $25,000</td>
</tr>
<tr>
<td>15-&lt;100 gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $25,000</td>
</tr>
<tr>
<td>100-&lt;400 gm</td>
<td>Class X</td>
<td>6-30 years</td>
<td>Up to $100,00</td>
</tr>
<tr>
<td>400-&lt;900 gm</td>
<td>Class X</td>
<td>8-40 years</td>
<td>Up to $200,000</td>
</tr>
<tr>
<td>900+ gm</td>
<td>Class X</td>
<td>10-50 years</td>
<td>Up to $300,000</td>
</tr>
</tbody>
</table>

Any substance containing LSD

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>15-&lt;100 gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $200,000</td>
</tr>
<tr>
<td>100-&lt;400 gm</td>
<td>Class 1</td>
<td>6-30 years</td>
<td>Up to greater of $200,000 or full street value</td>
</tr>
</tbody>
</table>
Any substance containing PENTAZOCINE, KETAMINE, METHAQUALONE, or PCP

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>30+ gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $200,000</td>
</tr>
</tbody>
</table>

Any other substance classified in Schedule I or II as a narcotic drug

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>200+ gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $200,000</td>
</tr>
</tbody>
</table>

Any controlled substance other than METHAMPHETAMINE and ANABOLIC STEROID

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>Any other amount</td>
<td>Class 4</td>
<td>1-3 years</td>
<td>Up to $25,000</td>
</tr>
</tbody>
</table>

Illinois Penalties for Possession of ANABOLIC STEROIDS

<table>
<thead>
<tr>
<th>Amount</th>
<th>Classification</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>Any</td>
<td>Class C Misdemeanor</td>
<td>Up to 30 days</td>
<td>Up to $1,500</td>
</tr>
<tr>
<td>Any</td>
<td>Class B Misdemeanor for 2nd and subsequent offense within 2 years</td>
<td>Up to 6 months</td>
<td>Up to $1,500</td>
</tr>
</tbody>
</table>

As with federal law, Illinois law provides much stiffer penalties for trafficking in a controlled substance. (“Trafficking” means the manufacture of, delivery of, or possession with intent to deliver controlled substances or marijuana.) Sentences and fines for trafficking in controlled substances are summarized in the chart below. (Under Illinois law, conviction of a drug delivery offense results in a fine of no less than full street value of the substance seized, in addition to all other penalties imposed.)

Any substance containing HEROIN or analog thereof

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-&lt;15 gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $250,000</td>
</tr>
<tr>
<td>15-&lt;100 gm</td>
<td>Class X</td>
<td>6-30 years</td>
<td>Up to $500,000</td>
</tr>
<tr>
<td>100-&lt;400 gm</td>
<td>Class X</td>
<td>9-40 years</td>
<td>Up to greater of $500,000 or full street value</td>
</tr>
<tr>
<td>400-&lt;900 gm</td>
<td>Class X</td>
<td>12-50 years</td>
<td>Up to greater of $500,000 or full street value</td>
</tr>
<tr>
<td>900+ gm</td>
<td>Class X</td>
<td>15-60 years</td>
<td>Up to greater of $500,000 or full street value</td>
</tr>
</tbody>
</table>

Any substance containing FENTANYL or analog thereof

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-&lt;15 gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $250,000</td>
</tr>
<tr>
<td>15-&lt;100 gm</td>
<td>Class X</td>
<td>6-30 years</td>
<td>Up to $500,000</td>
</tr>
<tr>
<td>100-&lt;400 gm</td>
<td>Class X</td>
<td>9-40 years</td>
<td>Up to $500,000</td>
</tr>
<tr>
<td>400-&lt;900 gm</td>
<td>Class X</td>
<td>12-50 years</td>
<td>Up to $500,000</td>
</tr>
<tr>
<td>900+ gm</td>
<td>Class X</td>
<td>15-60 years</td>
<td>Up to $500,000</td>
</tr>
</tbody>
</table>

* If any amount of FENTANYL is combined with another controlled substance, 3 years are added to the prison term.
### Any substance containing COCAINE or analog thereof

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-&lt;15 gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $250,000</td>
</tr>
<tr>
<td>15-&lt;100 gm</td>
<td>Class X</td>
<td>6-30 years</td>
<td>Up to $500,000</td>
</tr>
<tr>
<td>100-&lt;400 gm</td>
<td>Class X</td>
<td>9-40 years</td>
<td>Up to greater of $500,000 or full street value</td>
</tr>
<tr>
<td>400-&lt;900 gm</td>
<td>Class X</td>
<td>12-50 years</td>
<td>Up to greater of $500,000 or full street value</td>
</tr>
<tr>
<td>900+ gm</td>
<td>Class X</td>
<td>15-60 years</td>
<td>Up to greater of $500,000 or full street value</td>
</tr>
</tbody>
</table>

### Any substance containing MORPHINE or analog thereof

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>10-&lt;15 gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $250,000</td>
</tr>
<tr>
<td>15-&lt;100 gm</td>
<td>Class X</td>
<td>6-30 years</td>
<td>Up to $500,000</td>
</tr>
<tr>
<td>100-&lt;400 gm</td>
<td>Class X</td>
<td>9-40 years</td>
<td>Up to greater of $500,000 or full street value</td>
</tr>
<tr>
<td>400-&lt;900 gm</td>
<td>Class X</td>
<td>12-50 years</td>
<td>Up to greater of $500,000 or full street value</td>
</tr>
<tr>
<td>900+ gm</td>
<td>Class X</td>
<td>15-60 years</td>
<td>Up to greater of $500,000 or full street value</td>
</tr>
</tbody>
</table>

### Any substance containing PEYOTE or analog thereof

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>50-&lt;200 gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $250,000</td>
</tr>
<tr>
<td>200+ gm</td>
<td>Class X</td>
<td>6-30 years</td>
<td>Up to $500,000</td>
</tr>
</tbody>
</table>

### Any substance containing BARBITURIC ACID or analog thereof

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>50-&lt;200 gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $250,000</td>
</tr>
<tr>
<td>200+ gm</td>
<td>Class X</td>
<td>6-30 years</td>
<td>Up to $500,000</td>
</tr>
</tbody>
</table>

### Any substance containing AMPHETAMINE or analog thereof

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>50-&lt;200 gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $250,000</td>
</tr>
<tr>
<td>200+ gm</td>
<td>Class X</td>
<td>6-30 years</td>
<td>Up to $500,000</td>
</tr>
</tbody>
</table>

### Any substance containing LSD or analog thereof

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>5-&lt;15 gm or &gt;10 but &lt;15 objects/parts</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $250,000</td>
</tr>
<tr>
<td>15-&lt;100 gm or 15-199 objects/parts</td>
<td>Class X</td>
<td>6-30 years</td>
<td>Up to $500,000</td>
</tr>
<tr>
<td>100-&lt;400 gm or 200-599 objects/parts</td>
<td>Class X</td>
<td>9-40 years</td>
<td>Up to greater of $500,000 or full street value</td>
</tr>
<tr>
<td>400-&lt;900 gm or 600-1499 objects/parts</td>
<td>Class X</td>
<td>12-50 years</td>
<td>Up to greater of $500,000 or full street value</td>
</tr>
<tr>
<td>900+ gm or 1500+ objects/parts</td>
<td>Class X</td>
<td>15-60 years</td>
<td>Up to greater of $500,000 or full street value</td>
</tr>
</tbody>
</table>

### Any substance containing METHAMPHETAMINE

---

6
<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>&lt;5 gm</td>
<td>Class 2</td>
<td>3-7 years</td>
<td>Up to $25,000</td>
</tr>
<tr>
<td>5-&lt;15 gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $25,000</td>
</tr>
<tr>
<td>15-&lt;100 gm</td>
<td>Class X</td>
<td>6-30 years</td>
<td>Up to greater of $100,000 or street value</td>
</tr>
<tr>
<td>100-&lt;400 gm</td>
<td>Class X</td>
<td>9-40 years</td>
<td>Up to greater of $200,000 or street value</td>
</tr>
<tr>
<td>400-&lt;900 gm</td>
<td>Class X</td>
<td>12-50 years</td>
<td>Up to greater of $300,000 or street value</td>
</tr>
<tr>
<td>900+ gm</td>
<td>Class X</td>
<td>15-60 years</td>
<td>Up to greater of $400,000 or street value</td>
</tr>
</tbody>
</table>

* Manufacture of methamphetamine is subject to harsher penalties as set forth in 720 ILCS 646/15(a) (2015).

Any substance containing PENTAZOCINE, KETAMINE, METHAQUALONE, PCP or analog thereof

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>10-&lt;30 gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $250,000</td>
</tr>
<tr>
<td>30+ gm</td>
<td>Class X</td>
<td>6-30 years</td>
<td>Up to $500,000</td>
</tr>
</tbody>
</table>

Any substance containing HYDROCODONE, DIHYDROCODEINONE, DIHYDROCODEINE, OXYCODONE or analog thereof

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>50-&lt;100 gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $250,000</td>
</tr>
<tr>
<td>100+ gm</td>
<td>Class X</td>
<td>6-30 years</td>
<td>Up to $500,000</td>
</tr>
</tbody>
</table>

Any other substance or analog classified in Schedule I or II, but not listed here

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>50-&lt;200 gm</td>
<td>Class 1</td>
<td>4-15 years</td>
<td>Up to $250,000</td>
</tr>
<tr>
<td>200+ gm</td>
<td>Class X</td>
<td>6-30 years</td>
<td>Up to $500,000</td>
</tr>
</tbody>
</table>

Any substance or analog classified in Schedule I or II that is a narcotic drug or contains LSD, AMPHETAMINE, FENTANYL, or BZP

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>Any amount not listed above</td>
<td>Class 2</td>
<td>3-7 years</td>
<td>Up to $200,000</td>
</tr>
</tbody>
</table>

Any substance or analog classified in Schedule I or II that is not METHAMPHETAMINE

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>Any amount not listed above</td>
<td>Class 3</td>
<td>2-5 years</td>
<td>Up to $150,000</td>
</tr>
</tbody>
</table>

Any substance classified in Schedule III

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>Any amount not listed above</td>
<td>Class 3</td>
<td>2-5 years</td>
<td>Up to $125,000</td>
</tr>
</tbody>
</table>

Any substance classified in Schedule IV

<table>
<thead>
<tr>
<th>Amount</th>
<th>Felony Status</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>Any amount not listed above</td>
<td>Class 3</td>
<td>2-5 years</td>
<td>Up to $100,000</td>
</tr>
</tbody>
</table>

Any substance classified in Schedule V
Illinois Penalties for MARIJUANA manufacturing, distribution or trafficking (includes HASHISH)

<table>
<thead>
<tr>
<th>Amount</th>
<th>Classification</th>
<th>Prison Term</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>Up to 2.5 gm</td>
<td>Class B Misdemeanor</td>
<td>Up to 6 months</td>
<td>$1,500</td>
</tr>
<tr>
<td>&gt;2.5-10.0 gm</td>
<td>Class A Misdemeanor</td>
<td>Less than 1 year</td>
<td>$2,500</td>
</tr>
<tr>
<td>&gt;10-30.0 gm</td>
<td>Class 4 Felony</td>
<td>1-3 years</td>
<td>$25,000</td>
</tr>
<tr>
<td>&gt;30-500.0 gm</td>
<td>Class 3 Felony</td>
<td>2-5 years</td>
<td>Up to $50,000</td>
</tr>
<tr>
<td>&gt;500-2,000.0 gm</td>
<td>Class 2 Felony</td>
<td>3-7 years</td>
<td>Up to $100,000</td>
</tr>
<tr>
<td>&gt;2,000-5,000.0 gm</td>
<td>Class 1 Felony</td>
<td>4-15 years</td>
<td>Up to $150,000</td>
</tr>
<tr>
<td>&gt;5,000.0 gm</td>
<td>Class X Felony</td>
<td>6-30 years</td>
<td>Up to $200,000</td>
</tr>
</tbody>
</table>

In addition to these sanctions, the following additional penalties are prescribed by Illinois law. Conviction for the following may result in imprisonment, a fine, or both up to double the maximum otherwise authorized:

- Conviction for a second or subsequent offense under the Controlled Substances Act. A prior conviction under federal law or the law of any other state makes a conviction under Illinois law a second offense.
- Conviction for “cannabis trafficking” of 2,500 grams or more or for “controlled substances trafficking” (i.e., bringing these items into Illinois for purposes of manufacture or delivery).
- Conviction for delivery of a controlled substance by a person over 18 to a person under 18.
- Conviction for delivery of cannabis (marijuana or hashish) by a person over 18 to a person under 18 who is at least three years younger.
- Conviction for delivery of a controlled substance to a woman known to be pregnant.
- A person over 18 who uses another person under 18 to deliver controlled substances may be sentenced to imprisonment for a term up to three times the maximum otherwise authorized.
- Violation of provisions of the Controlled Substances Act in or on the grounds of any school or public housing complex, or within 1,000 feet of the same, will increase the felony status (and prison term) and the applicable fine.
- Participation in any conspiracy with respect to cannabis may result in imprisonment for two to five years and a fine of up to $200,000 plus certain forfeitures.

C. FEDERAL AND STATE FAKE ID SANCTIONS

Under Illinois law, possession, advertisement, manufacture, distribution, or sale of a driver’s license or identification card that is “fraudulent” (i.e., produced by someone other than a government office) is a Class 4 felony punishable by one to three years imprisonment and up to $25,000. Possession, transfer, or use of “fictitious” identification (a genuine identification with false information), lending or using the identification of another, or altering an identification is punishable by up to one year imprisonment and a fine of up to $2,500. Persons under 21 who present or offer false evidence for purposes of obtaining or purchasing alcohol shall be fined between $500 and $2,500, must perform at least 25 hours of community service, and may be jailed for up to one year.

Under federal law, the use, transfer, or production of identification that is false, altered, tampered with, or fraudulently obtained is punishable by up to 15 years imprisonment and a fine of up to
$250,000. Possession of such identification is punishable in some cases by up to five years imprisonment and a fine of up to $250,000.

D. STATE ALCOHOL SANCTIONS

Persons under 21 who possess, consume, purchase, or receive alcohol may be jailed for up to one year and fined $2,500. Illinois law also provides for a prison term up to one year and a fine of up to $2,500 for knowingly providing alcohol to persons under 21.

E. CITY SANCTIONS

Under the Chicago Municipal Code, it is unlawful for any person to drink any alcoholic liquor on any public way or in a motor vehicle upon a public way in the city of Chicago, and penalties include a fine of not less than $100 nor more than $500, and/or punishment by imprisonment for a period of six months. It is also unlawful for any person to possess up to 15 grams of any substance containing cannabis, and penalties include a fine of not less than $250.00 nor more than $500.00 for the first offense, and $500.00 for the second and each subsequent violation occurring within a period of 30 days.

IV. UNIVERSITY SANCTIONS

Besides legal consequences, the unlawful possession, use, or distribution of illicit drugs and alcohol and any violation of this Policy by a student or employee may result in appropriate discipline under the Student Handbook’s Code of Conduct or the Human Resources Policies and Procedures Manual’s Discipline provisions. For students, sanctions can include any sanction provided for in the Student Handbook, including, but not limited to, fines, removal from Illinois Tech housing, probation, suspension, or expulsion from the University. For employees, including student employees, sanctions can include any sanction provided for the Human Resources Policies and Procedures Manual, including, but not limited to, warning, suspension, termination of employment, and disqualification from future employment. In accordance with Article VI, Section E of the Student Handbook, student organizations that violate this Policy are also subject to sanctions, which may include, but are not limited to, fines, probation, suspension and removal of recognized student organization status.

In each case, upon a finding that a violation of this Policy has occurred, the particular sanction imposed will depend on the relevant facts and circumstances. Factors that will be considered include (i) the nature of the violation, (ii) the seriousness of the offense, (iii) the prior record of the individual or organization, (iv) whether personal injury occurred, and (v) the extent to which the campus learning environment was compromised. A sanction may include the successful completion of an approved rehabilitation or chemical dependency treatment program.

Illinois Tech may refer students or employees for criminal investigation and prosecution. Specific areas of Illinois Tech (i.e., Residence and Greek Life, Athletics) may also take action based on a violation of this Policy or their specific policies. For both students and employees, Illinois Tech retains, consistent with applicable policies and procedures, full and final discretion on whether, when, and under what conditions a student may be reinstated or an employee returned to employment after an instance of alcohol abuse or improper drug use.

As a condition of employment, any employee (including student employees) convicted of any violation of any criminal drug statute (including misdemeanors) involving the workplace must notify the Dean of Students (312.567.3081) (if a student employee); the Department of Human Resources (312.567.3318) (if a non-student staff employee); or the Office of the Provost (312.567.3163) (if an academic employee) within five days of the date of conviction. A conviction includes any plea or finding of guilty, any plea of nolo contendere (no contest), and/or any imposition of a fine, jail sentence, or other penalty. Under federal law, if the convicted employee is working on a project funded through a
federal grant or contract, Illinois Tech is required to notify the relevant federal contracting or granting agency within ten days of receiving such notice of conviction.

V. HEALTH RISKS

The use of illicit drugs and the abuse of alcohol and prescription drugs have potential adverse health consequences that may be permanent. These consequences include disorders and dysfunctions that affect the central nervous system, reproductive functioning, cardiovascular and pulmonary systems, and endocrine functioning. Specifically, there are both short- and long-term effects on cognition, memory, retention, information processing, coordination, and athletic and academic performance. The use of illicit drugs and the abuse of alcohol also affect emotional equilibrium, mental well-being, and the ability to make critical decisions. Such use also impairs judgment, which in turn increases one’s vulnerability and risk-taking behaviors, including engaging in unprotected sex, which may lead to exposure to HIV and other sexually transmitted diseases and to unplanned pregnancy. The chronic use and abuse of illicit drugs and alcohol have been shown to cause adverse permanent changes in most of the biological systems studied. These changes can lead to severe impairment, disability, and premature death.

A. ILLICIT DRUGS

The use of any amount of drug -- prescription, illicit, or legal -- will alter the chemical balance of the body. Misuse of drugs may lead to lifelong chemical dependency, the disease of addiction, and possible death. Abuse and addiction to drugs often cause serious damage to major body organs such as brain, stomach, lungs, liver, kidneys, and heart, as well as the immune and reproductive systems. The sharing of needles when using drugs is known to be a major cause of the spread of HIV. Information regarding the specific health risks associated with various controlled substances, prepared by the Drug Enforcement Agency of the U.S. Department of Justice, is at the following link: http://www.dea.gov/druginfo/factsheets.shtml.

B. ALCOHOL

Alcohol consumption causes a number of marked changes in behavior. Even low doses significantly impair the judgment and coordination required to drive a car safely, increasing the likelihood that the driver will be involved in an accident. Low to moderate doses of alcohol also increase the incidence of a variety of aggressive acts, including spouse and child abuse. Moderate to high doses of alcohol cause marked impairments in higher mental functions, severely altering a person’s ability to learn and remember information. Very high doses cause respiratory depression and death. If combined with other depressants of the central nervous system, much lower doses of alcohol will produce the effects just described.

Repeated use of alcohol can lead to dependence. Sudden cessation of alcohol intake is likely to produce withdrawal symptoms, including severe anxiety, tremors, hallucinations, and convulsions. Alcohol withdrawal can be life threatening. Long-term consumption of large quantities of alcohol, particularly when combined with poor nutrition, can also lead to permanent damage to vital organs such as the brain and the liver.

Mothers who drink alcohol during pregnancy may give birth to infants with fetal alcohol syndrome. These infants have irreversible physical abnormalities and mental retardation. In addition, research indicates that children of alcoholic parents are at greater risk than other youngsters of becoming alcoholics.
C. COUNSELING, TREATMENT, AND REFERRAL

Illinois Tech strives to maintain a comprehensive drug-free awareness program to inform students about the dangers of drug and alcohol use and to assist them in obtaining counseling and treatment. This includes the full availability of the Student Health and Wellness Center to all students for counseling and/or referral for treatment. For more information on the Student Health and Wellness Center and its programs and services visit its website at http://web.iit.edu/shwc. The Student Health and Wellness Center (312.567.7750) is staffed by mental health professionals who are available to discuss with students concerns regarding drug or alcohol use in their own life or in the life of someone close to them. Seeking professional assessment can frequently bring new perspective. Initial evaluation, consultation, counseling, and treatment on an outpatient basis are available through the Student Health and Wellness Center. Contact will be kept confidential, except as required by law or by concern for the immediate health, safety, or security of the individual or others. Throughout the year, Illinois Tech also sponsors educational programs for students, including forums, dissemination of educational materials, and awareness periods (e.g., Alcohol Awareness Week); and other programs and publications.

Employees may contact the Employee Assistance Program (EAP) (888.456.1324). This will connect employees with LifeWorks, the firm with which Illinois Tech has contracted to provide EAP services. For more information on LifeWorks and its programs and services visit its website at https://login.lifeworks.com/. (Passcode and user name are available from the Department of Human Resources' secured Portal under the “Benefits” section, which is accessible through myIIT.) Again, contact will be kept confidential, except as required by law or by concern for the immediate health, safety, or security of the individual or others.

If anyone suspects another, whether student or employee, is involved in illegal drug or alcohol use, encourage him or her to seek assistance from the appropriate office. Individuals requiring inpatient detoxification and/or rehabilitative services are referred to institutions and hospitals in the local community that specialize in these types of services. The costs of such treatment and referrals may be covered in whole or in part by the individual’s health insurance. Students with questions about Illinois Tech’s alcohol and other drug policy should contact the Student Health and Wellness Center (312.567.7750) or the Office of the Dean of Students (312.567.3081). Employees should contact the Office of Human Resources (312.567.3318).
Illinois Institute of Technology (hereinafter referred to as “the university”) does not discriminate in the administration of its programs on the basis of race, color, religion, gender, age, marital status, national origin, veteran status, sexual orientation, gender identity, disability, genetic information or any other status protected by applicable federal state and local law.

To this end, if a member of the public has a complaint of discrimination against the university the individual, within ninety (90) days of the alleged violation, should make such complaint in writing and include the name, address and telephone number of the complainant; a description of the alleged violation including the date and time of such violation; and the signature of the complainant and send the complaint to:

Director of Equal Employment Opportunity and Affirmative Action
Illinois Institute of Technology
10 West 35th Street  Suite 1900 SW
Chicago, IL 60616
miranda@iit.edu

If the complainant is unable to submit the complaint in writing, the complainant may contact the Director of Equal Employment Opportunity and Affirmative Action by telephone at 312-567-3134 to make a verbal complaint.

The Director or his or her designee, will investigate the matter and provide a written response to the complainant within sixty (60) days after receipt of the complaint.

University policy also prohibits retaliation against anyone who files a complaint in good faith pursuant to these procedures. Additionally, these procedures do not prevent a complainant from filing a complaint with a federal state or local agency.

University students, staff or faculty who seek to file a complaint of discrimination must follow the complaint procedures outlined in the respective student, staff and faculty handbooks.
Policies and Procedures Handbook
Illinois Institute of Technology

Subject: Authority for Negotiation and Approval of Contracts

Page 1 of 6

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>
</tr>
<tr>
<td>Financial aid</td>
<td></td>
</tr>
<tr>
<td>Participation agreements</td>
<td>Chief Financial Officer or Director of Financial Aid</td>
</tr>
<tr>
<td>Type of Transaction</td>
<td>Responsible Individual(s)</td>
</tr>
<tr>
<td>---------------------------------------------------------</td>
<td>--------------------------------------------------</td>
</tr>
<tr>
<td>Loan agreements</td>
<td>Director of Financial Aid</td>
</tr>
<tr>
<td><strong>Financial matters</strong></td>
<td></td>
</tr>
<tr>
<td>Audit/other related services</td>
<td>Chief Financial Officer</td>
</tr>
<tr>
<td>Borrowings and investments</td>
<td>Chief Financial Officer</td>
</tr>
<tr>
<td>Insurance policies and settlements of insurance related claims</td>
<td>Vice President and General Counsel</td>
</tr>
<tr>
<td>Write-offs of student accounts and other accounts receivable</td>
<td>Chief Financial Officer, Controller, or Director of Student Accounting</td>
</tr>
<tr>
<td><strong>Gifts</strong></td>
<td></td>
</tr>
<tr>
<td>Proposals and acceptances</td>
<td>Vice President for Institutional Advancement or Chief Financial Officer</td>
</tr>
<tr>
<td>Acknowledgements (stock gifts)</td>
<td>Chief Financial Officer</td>
</tr>
<tr>
<td>Deferred giving agreements</td>
<td>Vice President for Institutional Advancement or Chief Financial Officer</td>
</tr>
<tr>
<td>Life income agreements</td>
<td>Vice President for Institutional Advancement or Chief Financial Officer</td>
</tr>
<tr>
<td><strong>Housing</strong></td>
<td></td>
</tr>
<tr>
<td>Leases</td>
<td>Dean of Students, Associate Vice Provost for Residence Life or Director of Residence Life</td>
</tr>
<tr>
<td>Maintenance agreements</td>
<td>Vice President for Facilities and Public Safety or Dean of Students</td>
</tr>
<tr>
<td>Room and board contracts</td>
<td>Dean of Students, Associate Vice Provost for Residence Life or Director of Residence Life</td>
</tr>
<tr>
<td>Use of housing facilities</td>
<td>Dean of Students, Associate Vice Provost for Residence Life or Director of Residence Life</td>
</tr>
<tr>
<td><strong>Interinstitutional Agreements</strong></td>
<td></td>
</tr>
<tr>
<td>Articulation and comparable such agreements</td>
<td>President or Provost</td>
</tr>
<tr>
<td>Industry collaboration agreements</td>
<td>President or Provost</td>
</tr>
<tr>
<td><strong>Legal services, including retention of outside counsel and litigation matters</strong></td>
<td>Vice President and General Counsel</td>
</tr>
<tr>
<td>Type of Transaction</td>
<td>Responsible Individual(s)</td>
</tr>
<tr>
<td>-----------------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Permits and Licenses – federal, state and local licenses</td>
<td>Vice President and General Counsel, Secretary, Assistant Secretary</td>
</tr>
<tr>
<td>Purchasing – Subject to the value limitations set forth under the “Significant dollar transactions and long-term transactions” heading</td>
<td>Chief Financial Officer, Controller, Director of Procurement Services</td>
</tr>
<tr>
<td>Purchase orders, agreements, and contracts related to the procurement of goods and services, not otherwise provided for herein</td>
<td>Chief Financial Officer or Controller</td>
</tr>
<tr>
<td>Designation of authorized contracting authority, not otherwise provided for in this category</td>
<td>Chief Financial Officer or Dean of Students</td>
</tr>
<tr>
<td>Food services and catering contracts</td>
<td>Chief Financial Officer or Dean of Students</td>
</tr>
<tr>
<td>Printing, media services, advertising, and media/communications/public relations agreements</td>
<td>Vice President for External Affairs or Associate Vice President for Marketing &amp; Communications</td>
</tr>
<tr>
<td>Entertainment contracts</td>
<td>Vice President External Affairs, Assistant Vice President for Auxiliary Services, or Dean of Students</td>
</tr>
<tr>
<td>Purchase, lease, rental, maintenance and disposal of motor vehicles, including campus shuttle services.</td>
<td>Vice President for Facilities and Public Safety</td>
</tr>
<tr>
<td>Real estate and facilities-related matters – Subject to the value limitations set forth under the “Significant dollar transactions and long-term transactions” heading</td>
<td>Vice President for Facilities and Public Safety</td>
</tr>
<tr>
<td>Agreements for purchase, sale and leasing, either as tenant or landlord, of real estate</td>
<td>Vice President for Facilities and Public Safety</td>
</tr>
<tr>
<td>Agreements for construction and renovation of facilities</td>
<td>Vice President for Facilities and Public Safety or Facilities director-level designee or above</td>
</tr>
<tr>
<td>Agreements for maintenance of facilities</td>
<td>Vice President for Facilities and Public Safety or Facilities director-level designee or above</td>
</tr>
<tr>
<td>Type of Transaction</td>
<td>Responsible Individual(s)</td>
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<tr>
<td>---------------------</td>
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</tr>
<tr>
<td>Utilities supply contracts and other utilities-related agreements</td>
<td>Vice President for Facilities and Public Safety or Facilities director-level designee or above</td>
</tr>
<tr>
<td>Architectural engineering services, facility studies, and other facilities consulting services costing</td>
<td>Vice President for Facilities and Public Safety or Facilities director-level designee or above</td>
</tr>
<tr>
<td>Agreements for short-term (less than 60 days) use of University facilities</td>
<td>Vice President for External Affairs or Assistant Vice President for Auxiliary Services; provided that if the campus facility is (i) Keating Hall, then the Director of Athletics or designee, or (ii) academic laboratory space or comparable facilities, then the relevant Dean</td>
</tr>
</tbody>
</table>

**Significant dollar transactions and long-term transactions**

<table>
<thead>
<tr>
<th>Type of Transaction</th>
<th>Responsible Individual(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>All non-investment transactions with (i) dollar amounts greater than $1 million but less than $2.5 million and projects with contracts which in a 12-month period will fall within these limits, or (ii) dollar amounts greater than $100,000 and terms greater than 5 years</td>
<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>
</tr>
<tr>
<td>All non-investment transactions with dollar amounts greater than $2.5 million but less than $25 million</td>
<td>The Executive Committee of the Board of Trustees</td>
</tr>
<tr>
<td>All non-investment transactions greater than $25 million</td>
<td>The Board of Trustees</td>
</tr>
<tr>
<td>Investment transactions</td>
<td>President and the Board of Trustees</td>
</tr>
<tr>
<td>Type of Transaction</td>
<td>Responsible Individual(s)</td>
</tr>
<tr>
<td>--------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Sponsored programs:</strong></td>
<td></td>
</tr>
<tr>
<td>Patents, licenses, and related transactions</td>
<td>Provost, Vice Provost for Research, or Associate Vice Provost for Technology Development</td>
</tr>
<tr>
<td>Proposals, awards, contracts, grants, and other sponsored</td>
<td>Provost, Vice Provost for Research, Assistant Vice Provost for Research, or Director of Sponsored Research &amp; Programs; provided, further, the Associate Vice Provost for Technology Development may execute NDAs to the extent they related to patents and/or the licensing or assignment of patents.</td>
</tr>
<tr>
<td>program-related agreements, including NDAs and MTAs</td>
<td></td>
</tr>
<tr>
<td><strong>Technology-related contracts</strong></td>
<td></td>
</tr>
<tr>
<td>Hardware acquisition</td>
<td>Chief Financial Officer or if contract value is less than $100,000, Chief Information Officer</td>
</tr>
<tr>
<td>Software licensing</td>
<td>Provost or Chief Information Officer</td>
</tr>
<tr>
<td><strong>Union contracts</strong></td>
<td>Any two of the following: Provost, Chief Financial Officer, Vice President for Facilities and Public Safety, or Associate Vice President of Human Resources</td>
</tr>
</tbody>
</table>

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.
This policy establishes the parameters for conducting pre-employment background checks on individuals who apply for staff and faculty positions at IIT and for conducting criminal background checks on individuals participating in an IIT sponsored or related activity involving minors.

I. Pre-Employment

Pre-employment background checks, including criminal history, are a condition of employment for all newly hired or rehired staff and faculty members at IIT. This condition is applicable to full- and part-time and, at the discretion of the university, temporary positions. The university also reserves the right to conduct a check when a current employee applies for or is promoted or transferred into a new position and for whom a background check was not conducted when the employee was hired into the university. The background check may include a credit history for certain sensitive positions where such information is required. Additionally, it may include verification of social security number; previous employment; academic credentials; required licenses; motor vehicle history reports; and other records pertinent to the job.

For staff positions, only finalists under consideration will be subject to background checks. For faculty positions, only persons offered appointments will be subject to background checks. The appropriate acknowledgement and authorization will be signed by the prospective employee before the background check is initiated. If an individual refuses to consent to a background check, he or she will not be considered for employment.

The criminal history check will include county, state and/or federal criminal history records of misdemeanor and/or felony convictions. A conviction will not automatically disqualify an individual from employment; however, adverse information will be reviewed by the Associate Vice President for Human Resources, the Dean/Vice President of the applicable department (or his or her designee) and/or the Provost and can be a basis for the withdrawal or denial of an employment offer. Consideration will be given to factors such as the nature and severity of the offense; the age of the applicant at the time of conviction; the number of years since the conviction; and the position for which the applicant applied. As referenced above, the Associate Vice President, Dean/Vice President, and/or Provost, in their sole discretion, will make the requisite determination if a criminal conviction is in the prospective employee’s record.

The Department of Human Resources will receive and maintain the results of background checks for staff employees, and the Provost’s Office will receive and maintain the results of background checks for faculty. All information will be kept as confidential as the situation warrants.

The background check must be completed prior to the start of employment; however, in exigent circumstances, the Associate Vice President for Human Resources in consultation with the
hiring manager or the Dean in consultation with the Provost may approve the start of employment contingent upon the results of the check. In this instance, the offer of employment may be withdrawn or employment may be terminated if information discovered in the background check warrants such action.

In addition to the foregoing background checks, IIT reserves the right to conduct criminal background investigations when an employee is charged with any crime that reflects on his or her suitability for continued employment or during the course of an administrative investigation.

II. Activities Involving Minors

Criminal history checks are required for all IIT staff, faculty members, students and volunteers participating in any IIT sponsored or related activity, including, but not limited to, research projects, sports clinics, and educational and mentoring programs, involving one or more minors, regardless of the duration of the activity and whether it occurs on IIT property or elsewhere. A minor means an individual under the age of 18.

The check must be performed prior to an individual’s interaction with the minor(s). The check will include county, state and/or federal criminal history records of misdemeanor and/or felony convictions. Although a conviction will not automatically disqualify an individual from participating in the activity, adverse information will be reviewed by the General Counsel (or designee), and any such information may, in the sole discretion of the General Counsel, require the withdrawal from or denial of the individual’s participation in the activity. Consideration will be given to factors such as the nature and severity of the offense, the age of the applicant at the time of conviction, the number of years since the conviction and the proposed involvement of the individual in the activity.

The individual or department sponsoring the activity is required to coordinate with the Department of Human Resources to have the criminal history checks performed, and the sponsoring department will bear the costs of the checks. The Department of Human Resources will receive and maintain the results of such checks and will notify the General Counsel of any adverse information. Consistent with this policy, all information will be kept as confidential as the situation warrants.

If an individual participating in a covered activity has undergone a criminal history check within the immediately preceding 24 months, then a new check need not be conducted, provided that the results of the previous check remain available and are reviewed.

This requirement that criminal history checks be conducted for activities involving minors is not intended to apply to events or group activities, such as graduation ceremonies, fundraisers, fairs and picnics and similar events.
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, including Voice over Internet Protocol (VoIP) – the polices for which are outlined in Exhibit II and are an express part of this policy, information systems 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. Passwords are one of the primary mechanisms that protect IIT’s Technology Resources from unauthorized use. Thus, constructing secure passwords and ensuring proper password management are essential; poor password management and construction can allow both the dissemination of information to undesirable parties and unauthorized access to IIT Technology Resources. As poorly chosen passwords are easily compromised, standards for proper password creation and management reduce these risks. Accordingly, IIT has established minimum standards for password creation and management. These standards, which are attached to this policy as Exhibit I, apply to all Technology Resources that a User, whether students, faculty members and staff, may access and/or utilize, and it is required that each User comply with these minimum standards so as to ensure that IIT Technology Resources are protected by strong passwords. Further, each User is responsible for taking reasonable care for the security of his or her campus accounts and passwords. For example, one should change his or her passwords frequently and not employ an obvious or simple password (e.g., your name, your pet’s name or your
birthdate). One should not under any circumstances give his or her passwords to another person. As set forth in Exhibit I, system and application developers shall avoid creating applications which store passwords. If password storage cannot be avoided, application developers must ensure that applications do not store passwords in clear text or an easily decrypted format. Finally, 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.

For the avoidance of doubt, nothing in this section is intended to limit or restrict the ability of an employee from engaging in protected, concerted activities.

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, (iv) exigent circumstances exist such that access is deemed reasonably necessary to prevent injury, loss of life, property damage, or significant disruption to university operations, or (v) 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 [https://ots.iit.edu/policies-procedures](https://ots.iit.edu/policies-procedures)

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.web.iit.edu](http://www.web.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. Enforcement and Compliance Procedure

A. Each university department/unit is responsible for implementing, reviewing and monitoring internal policies and practices to assure compliance with this policy. The Chief Information Officer is responsible for enforcing this policy and is authorized to set specific password creation and management standards for university systems and accounts.

B. 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, making inappropriate use of Technology Resources or acting in a manner contrary to this policy will be contacted and appropriate action taken, including, as appropriate, disciplinary action consistent with applicable policies and procedures. Further, in order to protect IIT’s Technological Resources and the ability of others to use the same, upon report or discovery of such a violation, the User may be immediately and without warning denied access to IIT Technology Resources, as and to the extent deemed necessary or appropriate to maintain the security thereof, which denial of access may remain until the violation has been rectified. 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.

C. Exceptions to the password security protocols established by Section I.D of this policy may be granted by the Chief Information Officer or designee, in his/her discretion, in cases where security risks (i) are mitigated by alternative methods, or (ii) are at a low, acceptable level and compliance with minimum security requirements would interfere with legitimate academic or business needs. Such an exception must be requested in advance. To request a security exception, contact the Support Desk by calling (3212-567-DESK), emailing (supportdesk@iit.edu) or stopping by the 2nd Floor Galvin Library.
EXHIBIT I
MINIMUM STANDARDS FOR PASSWORDS

1. Password Construction

1.1 Minimum Password Length. Passwords shall have a minimum of eight characters and a maximum of 30 characters with at least one upper case letter, one lower case letter, one number, and one special character that may not include @, #, any other unicode or $ as the first character.

1.2 Password Composition. Passwords shall not consist of well-known or publicly posted identification information. Names, usernames, and A-numbers are all examples of well-known identification information that should not be used as a password. Additional helpful hints on password construction can be found in Appendix A - Password Construction Tips, which follows this Exhibit I.

2. Password Management

2.1 Password Storage. Passwords shall be memorized and never written down or recorded along with corresponding account information or usernames. Passwords must not be remembered by unencrypted computer applications such as email. Use of an encrypted password storage application is acceptable, although extreme care must be taken to protect access to said application.

2.2 Password Aging. General IIT community members must change their passwords at least once every 365 days with the exception of administrators and IT staff that handle sensitive data, who must change their passwords every 90 days.

2.3 Password Reuse. Care shall be taken to prevent the compromise of one username/password from compromising the security of multiple systems or resources. Users shall not use the username and password combination from any non-IIT account as the username and password for their IIT accounts. Further, you may not reuse passwords for the same account.

2.4 Password Sharing and Transfer. Passwords shall not be transferred or shared with others unless the User obtains appropriate authorization to do so. When it is necessary to disseminate passwords in writing, reasonable measures shall be taken to protect the password from unauthorized access. For example, after memorizing the password, one must destroy the written record. When communicating a password to an authorized individual orally, measures must be taken to ensure that the password is not overheard by unauthorized individuals.

2.5 Electronic Transmission. Passwords shall not be transmitted electronically over the Internet using insecure methods. Wherever possible, security protocols including IMAPS, FTPS, HTTPS, etc. shall be used.

3. Requirements for System Administrators

3.1 Require Passwords for Login. Systems shall not be configured to allow user login without a password. Exceptions shall be granted for specialized devices such
as public access kiosks when these devices are configured with public user accounts that have extremely restricted permissions (e.g., web only) that are separate from administrative accounts.

3.2 Protect against Password Hacking. System administrators shall harden their systems to deter password cracking by using reasonable methods to mitigate “brute force” password attacks. For example, IIT may choose to configure the system in such a way that after five failed attempts to log-in one would be unable to proceed with login. IIT may also introduce a time limit before allowing another login attempt.

3.3 Logging. Practicable measures shall be put in place to log successful and failed login attempts.

3.4 Changing Password after Compromise or Disclosure. System administrators shall, in a timely manner, reset passwords for User accounts or require Users to reset their own passwords in situations where continued use of a password creates risk of unauthorized access to the computing account or resource. Examples of these situations include, but are not limited to: disclosure of a password to an unauthorized person; discovery of a password by unauthorized person; system compromise (unauthorized access to a system or account); insecure transmission of a password; replacing the User of an account with another individual requiring access to the same account; password is provided to IT support staff in order to resolve a technical issue; and account password is communicated to a User by the system administrator.

3.5 Default Passwords. System administrators and IT personnel shall not use default passwords for administrative accounts.

4. Requirements for Application Developers

4.1 Require Secure Transmission. Application developers shall, whenever possible, develop applications that require secure protocols for authentication.

4.2 Storing Passwords. Application developers shall avoid creating applications which store passwords. If password storage cannot be avoided, application developers shall ensure that applications do not store passwords in clear text or an easily decrypted format.

4.3 Unique User Accounts and Passwords. Applications shall support unique user accounts and passwords so that individual Users are not required to share a password in order to use the application.

4.4 Use myIIT Portal Whenever Possible. Applications shall, whenever possible, use the User’s myIIT portal password for authenticating members of the IIT community instead of creating another unique ID or username.
Appendix A
Password Construction Tips

• **Acceptable Methods to Create a Strong Password**
  - Use a minimum of 8 characters. Generally, the more characters you use, the harder a password is to be cracked or guessed.
  - Choose a password that is easy for you to remember but would be hard for another to guess. One useful approach is to use a sentence or saying to create a “passphrase” by using the first letters, capitalization and special characters as substitutes. For example, “One ring to rule them all, one ring to bind them” may be used to create a passphrase like “1R2rtAor2Bt” that can be used as a very strong password.
  - Use mixed case (upper & lower) and numbers.
  - Use special characters and/or punctuation symbols (Examples include: _ - + = ! % * & : . /). Do not use @, #, any other unicode, or $ as the first character.

• **Unacceptable Methods to Create a Strong Password**
  - Do not use words, numbers or known or public information associated with you (e.g., Social Security numbers, names, family names, pet names, birthdays, phone numbers, addresses, etc.).
  - Avoid using your login name or any variation of your login name as your password. If your login is ‘fredrick’, do not use substitution or letter reordering. Examples would be ‘fr3dr1ck’, where the 3=e and the 1=i. Further, do not use kcird1erf (backwards) or add a digit to the beginning or end of the word (1fredrick or fredrick1).
  - Do not use the same character for the entire password (e.g., ‘11111111’) or use fewer than eight unique characters.
  - Do not use common letter or number patterns for your password (e.g., ‘12345678’ or ‘abcdefgh’).
  - Substitution should not be used on common words or with common substitutions (e.g., 3=E, 4=A, 1=I, 0=O, etc.).
  - When changing a password, change to an entirely new password. Do not just rotate through a list of favorite passwords.
EXHIBIT II
POLICIES AND PROCEDURES FOR USE OF VOICE OVER
INTERNET PROTOCOL

IIT provides faculty, staff and students access to Voice over Internet Protocol (“VoIP”). VoIP is a methodology and group of technologies for the delivery of voice communications and multimedia sessions over Internet Protocol (IP) networks, most commonly the Internet. IIT provides VoIP through a subscription it has with a third-party provider (said provider along with its licensors, hereinafter collectively referred to as the “Provider”). In connection with this subscription, IIT is obligated to ensure that certain policies, procedures and rules are adhered to when Users utilize the VoIP service. These policies, procedures and rules are set forth below, and all Users utilizing VoIP services must adhere to the same.

1. The Services

1.1 Each user agrees that the Provider retain all proprietary right, title, and interest, including copyright and all other intellectual property rights, in and to the VoIP services as they currently exist or as modified, including, without limitation, in and to any readable features such as documentation, reports, menus, audible prompts, and tone sequences that the User’s can access and use in connection with the VoIP services. For the avoidance of doubt, User’s use of the Services shall in no manner entitle the User to a claim of ownership in the Services.

2. Code of Conduct and Acceptable Use

2.1 Each User agrees to abide by the following rules in connection with User’s access to and/or use of the VoIP services:

(1) User is responsible for making sure User is dialing from the correct line on User’s assigned SIP phone. User must not alter the connection for User’s assigned SIP phone without permission from IIT’s Office of Technology Services.

(2) User must not attempt to undermine the security or integrity of the VoIP services or any related networks nor cause the disabling or circumvention of any security mechanism contained in or associated with the VoIP services. User must not attempt to gain unauthorized access, nor attempt, whether through use of disassemblers or any other means whatsoever (including, but not limited to, manual, mechanical, or electronic means) to adapt, alter, modify, copy, reproduce, distribute, transcribe, translate, reduce, reverse engineer, decompile, disassemble, display or attempt to generate or access the source code, algorithms, structure or organization of any of the VoIP services, the Provider’s software, or any other software used by the Provider to provide the platform for the VoIP services, in whole or in part, unless expressly permitted by applicable law. User must not prepare derivative works from any component of the VoIP services. User must not delete, alter, cover, or distort any copyright or other proprietary notices or trademarks.
(3) User may only use the VoIP services for lawful purposes and in accordance with all applicable laws and regulations. For example, use of the VoIP services to transmit any material in violation of any applicable law or regulation is prohibited. Such prohibitions include, without limitation, material protected by copyright, patent, trademark, trade secret, or other intellectual property rights used without proper authorization, and material that is obscene, libelous, or defamatory, constitutes a threat or harassment, or violates export control laws.

(4) User acknowledges that the VoIP services are not designed, manufactured, or intended for use or resale as online control equipment in hazardous environments requiring fail-safe performance, such as in the operation of nuclear facilities, aircraft navigation, or communication systems, air traffic control, weapons systems, or direct life support machines, in which the failure of the software could lead directly to death, personal injury, or severe physical or environmental damage.

(5) User must not restrict or inhibit any other User from using the VoIP services; however, User may not sell, lend, rent, give, assign, or otherwise transfer or provide access to the VoIP services to a third party or commercially exploit the VoIP services by marketing, licensing, selling, distributing, or transferring the VoIP services to a third party.

3. Suspension and Termination of User’s Use of the Services

3.1 If any User breaches or violates the terms and conditions set forth in this Exhibit II or elsewhere in this Policy, it is expressly understood by User that his or her access to and use of the VoIP services may be suspended or terminated without prior notice to User. In addition, User's access to and use of the VoIP services may be suspended or terminated without prior notice to the User in the event IIT or Provider deems it necessary and acceptable to do so. The terms of this Section 3.1 are set forth in IIT’s Contract with the Provider, and as such, they are not waivable by IIT. User’s are hereby expressly informed that enforcement of the Provider’s rights hereunder is within the sole discretion of the Provider.

4. Sanctions, Disciplinary Actions, and Legal Actions

4.1 Without limitation of the Provider's other rights or remedies as set forth herein or IIT's rights under this policy or any other applicable policy, User acknowledges and agrees that a breach by User of these VoIP policies and procedures may result in (i) IIT imposing sanctions on the User’s use of the VoIP services, (ii) IIT initiating disciplinary action against the User in accordance with university policies, and/or (iii) legal action by the Vendor against the User.

4.2 Any information and/or complaints regarding violations of the terms set forth in this Exhibit II should be directed to: abuse@iit.edu.
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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<td>material</td>
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**Note:** 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.
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<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>
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<td>Compilation of statistics regarding</td>
<td>5 years – Office of Institutional Information</td>
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<tr>
<td>crimes on campus (Clery Reports)</td>
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<tr>
<td><strong>Real Estate</strong></td>
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<tr>
<td>As-built drawings, specifications,</td>
<td>Permanent – Design and Construction Department</td>
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<td>designs, blueprints and maps</td>
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<tr>
<td>Property deeds, easements, licenses,</td>
<td>6 years after property interest terminated or transferred – General Counsel’s Office</td>
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<td>rights of ways, rights of first refusal,</td>
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<td>remainder interests, title reports and</td>
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<td>mortgages</td>
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<td>Property tax documents</td>
<td>6 years – General Counsel’s Office</td>
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<td>Mechanical, engineering and</td>
<td>6 years after property interest terminated or building demolition – Design and Construction Department</td>
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<td>environmental reports</td>
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<td>RECORD CATEGORY</td>
<td>RETENTION SCHEDULE / RESPONSIBLE DEPARTMENT</td>
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<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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<td>Governmental permits, approvals and licenses</td>
<td>3 years after expiration – General Counsel’s Office</td>
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<td><strong>Note:</strong> All departments should forward copies of all permits, licenses and approvals to the General Counsel’s Office</td>
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<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>
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<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>
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<tr>
<td>Animal welfare records</td>
<td>5 years after completion of research – Office of Research Compliance &amp; Proposal Development</td>
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<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>
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<td>Recombinant DNA research records</td>
<td>Permanent – Office of Research Compliance &amp; Proposal Development</td>
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<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>
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<tr>
<td>Fraternities and sororities files</td>
<td>Dean of Student’s Office until no longer needed then to the Archives</td>
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<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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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.
I. Non-Interference

The University, though its Office of Technology Services ("OTS"), has invested significant resources to modernize its technology and telephonic infrastructure and to manage its radio frequencies (spectrums), so that it can provide its students, faculty and staff with high-quality, uninterrupted voice, data and video and distance learning services, both wireless and wired. To ensure the operational integrity of such services, it is essential that no action be taken that would interfere with or otherwise obstruct this infrastructure or the use of these frequencies.

Accordingly, students, faculty and staff are prohibited from undertaking any activity, including, without limitation, the installation of equipment, devices or antennae, whether for their own benefit or for the benefit of third parties, that may cause interference with or otherwise obstruct the operation or use of the University’s technology infrastructure or radio frequencies. If an activity is found to have such an effect, then OTS shall have the right to direct the party responsible for such activity to use every effort to eliminate immediately such interference or obstruction.

If a student or faculty or staff member has any concerns as to whether an activity may impact the University's technology infrastructure or radio frequencies, then he or she should consult with OTS in advance of undertaking the activity.

II. Disability Accessibility and Related Recordkeeping

With respect to the telecommunication services that it provides, the University makes all reasonable efforts to accommodate users with disabilities and to meet the guidelines of the Federal Communications Commission’s ("FCC") Accessibility Recordkeeping and Contact Information Reporting Requirements. To this end, OTS, through its Office of Telecommunication Services, on behalf of the University, undertakes the following:

A. Efforts to Consult with Individuals with Disabilities

- On a regular basis, consults with people with disabilities concerning accessibility issues related to telecommunication services. These efforts include the ability to provide feedback and raise concerns via the website, consultation with the University’s Center for Disability Resources and review of student surveys.
- Compiles and reviews, no less frequently than annually, records concerning the results of such consultation and direct feedback to determine whether the University should modify its policies or offerings related to such services to address accessibility issues.
- Maintains records concerning its consultation efforts and the results of those efforts in accordance with this Policy.
B. Description of the Accessibility Features of Products and Services:

- Compiles and maintains information concerning the accessibility features of its telecommunication products and services as well as accommodations for disabilities. Based on historical needs, the current features and accommodations, as of the date of this Policy, include the ability to provide TTY devices and a policy of mandatory response to the location from which contact or attempted contact is made to the University's Department of Public Safety.
- Makes information available to individuals with disabilities regarding such accessibility features via its website and the Center for Disability Resources.
- Maintains records concerning the accessibility features of its products and services in accordance with this Policy.

C. Information about Compatibility of Products and Services with Peripheral Devices or Specialized Customer Premise Equipment Commonly Used by Individuals with Disabilities to Achieve Access:

- Maintains lists of peripheral devices and customer premises equipment commonly used by individuals with disabilities to achieve access that it makes available or that, to its knowledge, can be used with its telecommunication services and equipment.
- Updates such lists as its service and equipment offerings change.
- Makes the lists available to customers upon request and via its website and the Center for Disability Resources.
- Maintains records concerning such lists in accordance with this Policy.

D. Recordkeeping:

- All records referenced in Sections II.A, II.B and II.C above are kept for a period of two years after OTS ceases offering a service or supporting equipment that is subject to the relevant recordkeeping requirements under Part 14 of the FCC’s rules.
- Updates its records on a regular basis, but in no event less than annually.
I. Purpose of the Policy

The purpose of this policy is to ensure that the process of policy development for University Policies (as defined below), as well as the form and dissemination of such Policies, meet IIT standards for consistency, compliance with laws and regulations, accessibility and understandability. Specifically, this policy defines the steps by which University Policies are promulgated at IIT.

II. Policy Definitions

Policy Approval Committee: A committee comprised of the Provost, Chief Financial Officer and General Counsel that is authorized to review and approve University Policies prior to their adoption. The President may modify the membership of the Policy Approval Committee.

University Policy: Any policy that meets all of the following criteria is a “University Policy”:

- has broad application or impact throughout IIT across colleges and administrative units, including, without limitation, policies whose subject matter or budgetary impact requires review and approval by a vice president;

- seeks to ensure compliance with applicable laws, regulations and standards, promotion of operational efficiencies, enhancement of IIT's mission or reduction of institutional risks; and

- mandates or constrains actions.

A college or administrative unit may issue policies or procedures that relate to matters of interest only to that particular college or administrative unit or that set forth procedures by which the unit will carry out the University Policies. These shall be referred to generally as “unit policies”. Unit policies are not University Policies and are not governed by the procedures set forth in this policy; however, unit policies should be reviewed and approved by the relevant dean, department head or appropriate university officer prior to adoption for consistency with University Policies. Any unit policy that is contrary to University Policies is void and will not be enforced.

III. University Policy Development and Adoption Process

University Policies may be initiated by individual colleges, business units, the Faculty Council, vice presidents or other bodies and individuals as appropriate. A University Policy, however, must be sponsored by either a vice president or pursuant to delegation
from a vice president to a senior administrator with the responsibility for creating and implementing University Policies as required in his or her area of responsibility. The procedures for formulating and reviewing University Policies may vary from unit to unit, depending on the primary constituency for the policy, on institutional traditions, and on relevant external legal or regulatory constraints. For example, academic policies, in particular those appearing in the Faculty Handbook, require the review and approval of the Faculty Council.

In each case, the University Policy should be reviewed by offices directly responsible for implementing any substantive aspect of the University Policy. After all such relevant reviews have been carried out, the draft University Policy should be submitted for final review and approval by the Policy Approval Committee and, if appropriate, by the University Trustees, prior to issuance to the IIT community. The appropriate vice president or his or her designee is charged with issuing, publishing and distributing approved University Policies on the appropriate IIT website pages and by other means as deemed appropriate.

The responsible vice president, or his or her designee, for each University Policy also is charged with the responsibility for keeping each University Policy up to date. Accordingly, he or she should ensure, as necessary, appropriate, periodic review of University Policies to ensure that they reflect obligations imposed by current laws, regulations, and best practices. Except when the process or authority for making changes to a University Policy is included in the University Policy itself, amendments must follow the same process outlined above for initial issuance.

IV. Reservation of Rights

Nothing in this policy limits or circumscribes in any way the power and authority of the Board of Trustees or the President to issue, amend or revoke University Policies on any matter.
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. Statement of Purpose

Illinois Institute of Technology (“IIT” or “University”) hereby establishes the IIT Concealed Carry and Prohibition Regarding Firearms and Weapons on Campus Policy (the “Policy”) pursuant to the 2013 Illinois Firearm Concealed Carry Act (430 ILCS 66/1 et seq.) and its enabling regulations. As IIT is committed to providing a safe and secure environment for the IIT community and its guests, IIT establishes restrictions on the ability to carry firearms or weapons, concealed or otherwise, on the Campus (as defined below) in accordance with the 2013 Illinois Firearm Concealed Carry Act and other applicable laws.

II. Persons Covered by this Policy

This Policy applies to all employees, students, persons conducting business, or individuals visiting the Campus. Visitors include, but are not limited to, members of the general public as well as prospective students, former students and their respective families.

III. Definitions

“Campus” includes the following locations:

Main Campus, 3300 S. Federal Street, Chicago, Illinois located between 30th and 35th Streets (North-South) and Michigan Avenue and LaSalle (East-West);

Downtown Campus, 565 West Adams Street, Chicago, Illinois;

Institute of Design, 350 North LaSalle Street, Chicago, Illinois, Floors 2 through 6, inclusive;

Daniel F. and Ada L. Rice Campus, 201 East Loop Road, Wheaton, Illinois;

Moffett Campus – Institute for Food Safety & Health, 6502 S. Archer Road, Bedford Park, Illinois; and

Any location not listed above that is or becomes under the control of IIT, whether owned, leased, or licensed.

“Firearm” means a loaded or unloaded device, by whatever name known, which is designed to expel a projectile or projectiles by the action of an explosion, expansion of gas, or escape of gas.
“Property of IIT” includes (i) any building, including, without limitation, residence halls and apartments, fraternity or sorority houses, offices and storage facilities, classroom, laboratory, medical clinic, hospital, artistic venue, or entertainment, including, without limitation, athletic, venue whether owned, leased or operated by IIT; (ii) any real property, including parking areas, sidewalks and common areas under the control of IIT; (iii) any University-related and University-recognized organization property, whether leased or owned by IIT; and (iv) any vehicles of any kind owned, leased or controlled by IIT.

“Weapon” means (i) any device, whether loaded or unloaded, that shoots a bullet, pellet, flare or any other projectile including those powered by CO2, including, but not limited to, machine guns, rifles, shotguns, handguns or other firearm, BB/pellet gun, spring gun, paint ball or airsoft gun, flare gun, stun gun, taser or dart gun and any ammunition for any such device; (ii) any explosive device including, but not limited to, firecrackers and black powder; (iii) any device that is designed or traditionally used to inflict harm including, but not limited to, bows and arrows, any knife with a blade longer than three inches, hunting knife, fixed blade knife, throwing knives, dagger, razor, other cutting instrument the blade of which is exposed, blackjack, slingshot, billyclub, sandclub, sandbag, or metal knuckles; and (iv) any replica or facsimile of a device covered by the foregoing (i), (ii) and (iii), including toys and anything which reasonably could be mistaken therefor.

III. Prohibited Activities and Other Restrictions

A. Weapons or Firearms

To the fullest extent permitted by law, IIT maintains a Weapons and Firearms free Campus. This means that no person covered by this Policy, unless authorized by law or specifically exempted by federal or state law or this Policy, is authorized to possess a Weapon or Firearm while engaged in IIT-related business or activities or otherwise present in, on or about the Property of IIT located on the Campus. Without limiting the foregoing, IIT expressly prohibits: (i) any person covered by this Policy from possessing a Weapon or Firearm while in, on or about the Property of IIT located on the Campus, even if that person has a valid federal or state license to possess a Weapon or Firearm; and (ii) any person covered by this Policy from displaying, brandishing, discharging or otherwise using any and all Weapons or Firearms, including concealed weapons or firearms, while in, on or about the Property of IIT located on the Campus.

B. Exceptions

The provisions of this Policy do not apply to the possession of Weapons or Firearms while in, on or about the Property of IIT located on the Campus to the extent that the possession of Weapons or Firearms is directly related to one of the exceptions set forth below, which exceptions are intended, consistent with applicable law, to be narrowly construed and applied.

1. The Weapon or Firearm is used in connection with a weapons safety course, weapons education course or other credited course work or official activities of a reorganized student organization offered in the regular course of business or approved and authorized by IIT; provided, however, any such course activities,
including those offered by the Reserve Officers’ Training Corp, shall first develop protocols for the storage, maintenance and safety of Weapons or Firearms used as part of thereof and have those protocols approved by the Provost or his/her designee.

2. The Weapon or Firearm is carried, concealed or otherwise, by (i) an IIT public safety officer who is required to carry a Weapon or Firearm as a condition of his or her employment; or (ii) an enforcement officer from an external agency conducting official business at IIT. In addition, IIT’s Director of Public Safety, in his or her discretion but after consultation with IIT’s Vice President for Facilities and Public Safety and General Counsel, may grant a comparable exception (i) and (ii) above to an individual who has requested permission to carry, concealed or otherwise, a Weapon or Firearm when circumstances indicate such an exception is reasonably justified and its granting will not pose an unreasonable risk to health and safety (hereinafter referred to as a “Case-By-Case Exception”). A Case-By-Case Exception may be approved with such restrictions as deemed appropriate, including, but not limited to, the nature and number of Weapons or Firearms authorized, the Property of IIT and/or Campus in, on or about which the Weapon or Firearm may be carried or the time the Case-By-Case Exception will remain in effect. An individual seeking a Case-By-Case Exception must submit his or her request in writing, and the request, at a minimum, must contain the individual’s full name, address, and relationship to IIT, a description of the Weapon or Firearm desired to be carried, a statement explaining the basis for the request, and, if applicable, a copy of his or her FOIA card and concealed carry permit. The Director of Public Safety may request any additional information he or she deems necessary or appropriate to evaluate the request. Anyone granted a Case-By-Case Exception will receive a letter so indicating from the Director of Public Safety, which he or she must carry within him or her while in, on, or about the Property of IIT on the Campus. The Director of Public Safety shall maintain a list of all Case-By-Case Exceptions granted and shall promptly notify IIT’s Provost, Vice President for Facilities and Public Safety and General Counsel when any Case-By-Case Exception has been granted. For the avoidance of doubt, absent the granting of a Case-By-Case Exception, the exceptions contain in this Section III.B.2 are not available to an off-duty law enforcement officer while he or she is in, on or about the Property of IIT on the Campus, including off duty law enforcement officers attending classes as students, meaning such an individual may not carry, concealed or otherwise, a Weapon or Firearm in, on or about the Property of IIT on the Campus.

3. The Weapon or Firearm is used in connection with officially sanctioned IIT athletic, recreational or sporting practices, games, matches, tournaments or events occurring in, on or about the Property of IIT located on the Campus when the activity requires the use of such Weapons or Firearms (e.g., fencing, starter pistols and archery).
4. The use of simulated Weapons or Firearms during and in connection with rehearsals for and presentations of officially sanctioned IIT theatrical productions.

C. Parking Areas
A Weapon or Firearm may be transported into an unrestricted IIT parking area on the Campus within a vehicle only if the weapon or firearm and its ammunition remain locked in a case out of plain view within the parked vehicle. Parking areas on the Campus shall be deemed unrestricted unless signage indicates that they have been designated as areas where weapons and firearms are not permitted. IIT reserves the right to make and change such designations from time to time in its sole discretion. For purposes of this Section III.C., “case” shall mean (i) a glove compartment or console that completely encases the weapon or firearm and its ammunition; (ii) the trunk of the vehicle; or (iii) a weapon or firearm carrying box, shipping box or other container. The Weapon or Firearm may only be removed and may only be concealed in the immediate area surrounding his or her vehicle within the unrestricted parking lot for the limited purpose of storage or retrieval from within the trunk of the vehicle; provided that the Weapon or Firearm has first been unloaded before removal from the vehicle.

D. Public Right of Ways
An individual carrying a concealed Weapon or Firearm shall not be deemed to be in violation of this Policy while he or she is traveling along a public right of way that touches or crosses the Campus if the concealed firearm is being carried in accordance with the provisions of the 2013 Illinois Firearm Concealed Carry Act or is being transported in a vehicle in accordance with the 2013 Illinois Firearm Concealed Carry Act and all other applicable provisions of law.

IV. Signage

IIT’s Department of Facilities, in consultation with such other IIT Departments as it deems necessary, shall (i) determine the exact placement of clearly and conspicuously posted signs at all building entrances and any restricted parking area entrances indicating that concealed Firearms are prohibited, and (ii) shall be responsible for the placement and maintenance of signage at building entrances and restricted parking area entrances where vehicles containing weapons or firearms are prohibited, all in accordance with the 2013 Illinois Forearms Concealed Carry Act. Signs shall be in accordance with the design approved by the Illinois State Police. For the avoidance of doubt, other IIT Departments, including colleges and academic units, may not post additional or any other such signage without the prior approval of the Vice President for Facilities and Public Safety.

V. Enforcement

A. Any individual, including those visiting or conducting business on the Campus, found to have carried a Weapon or Firearm in, on or about the Property of IIT located on the Campus knowingly, or found to be carrying a Weapon or Firearm under circumstances in which the individual should have known that he or she
was in possession of a Weapon or Firearm, may be banned from the Campus for such time and extent as IIT determines appropriate.

B. Any student found to have carried a Weapon or Firearm in, on or about the Property of IIT located on the Campus knowingly, or found to be carrying a Weapon or Firearm under circumstances in which the student should have known that he or she was in possession of a Weapon or Firearm, may, in accordance with applicable IIT policies, be subject to discipline up to and including, but not limited to, expulsion from IIT.

C. Any employee found to have carried a Weapon or Firearm in, on or about the Property of IIT located on the Campus knowingly, or found to be carrying a Weapon or Firearm under circumstances in which the employee should have known that he or she was in possession of a Weapon or Firearm, may, in accordance with applicable IIT policies, be subject to discipline up to and including, but not limited to, immediate termination of employment.

D. In addition to any other action, violations of this Policy may result in referrals to external law enforcement agencies.
I. User Responsibility

A. At various times throughout a year, IIT, at its discretion, may issue devices to select groups within the university that would allow mobile access to the Internet (the “Device”). These Devices will be made available to support the academic mission, programs and activities of IIT. The proper use of these Devices is the personal responsibility of the individual to whom the Device is issued (the “User”). Title to and ownership of the Device shall remain, at all times, vested in IIT.

B. The use of a Device is a privilege, not a right, and must not be abused. IIT may rescind the privilege of using the Device without any prior notice or consent for any reason at any time, and the User must immediately surrender the Device upon request.

C. In using the Device, the User must follow all of IIT's then-existing technology-related policies and procedures, including, without limitation, IIT's policy on the Use of Technology Resources, which is currently Procedure No. Q-3 of this Handbook and Disciplinary Proceedings Due to Receipt of Digital Millennium Copyright Act Notice, which is currently contained in Article III, Section E of the IIT Student Handbook, as all such policies and procedures that apply to the use of the Device.

II. Fees and Charges

A. The Device is only authorized to be operated in the carrier’s (meaning Sprint’s and any of its affiliates’) home network (meaning only within the United States). Any roaming to another network, international service or paid network use is the sole responsibility of the User. If IIT incurs any charges for the User’s access to another network, the User will be charged all of the fees incurred plus a 25% administrative processing fee, which will be charged to the student’s university account or the faculty’s or staff member’s FOAP, as applicable.

B. A Device may have a monthly usage limit. It is the responsibility of the User to ensure that usage on the Device does not exceed the monthly limit. If IIT incurs any charges for excess usage, those charges plus a 25% administrative processing fee will be charged to the student’s university account or the faculty’s or staff member’s FOAP, as applicable. The monthly usage limit will be provided to the User when the device is initially distributed. This usage limit is subject to change and any such change will be communicated to the User via the User’s IIT email account. It is the User’s responsibility to monitor his or her email account for any notices regarding the change in usage limits.
C. If a Device is lost or stolen, it is the User’s responsibility to immediately notify the OTS Support Desk by emailing supportdesk@iit.edu or calling 312-567-3375. Any and all costs of usage incurred on the Device up until the time the loss or theft is reported to the OTS Support Desk are, as provided for in Sections A and B above, the User’s responsibility. Upon request, IIT will issue the User a new Device provided the User bears any affiliated costs.

III. General Provisions

A. The quality of the Internet access on the Device is dependent upon IIT’s external vendor’s network and may vary depending on the network’s load and the physical location of the device. IIT makes no representation, warranties, promises or guaranties of any kind with respect to the Device’s ability to provide any particular level of service, and by accepting the Device, the User acknowledges and agrees to waive and release and to hold harmless IIT for any and all problems, disruptions, failures, liabilities, damages and the like, regardless of kind, type or theory therefor, related to the service of the Device. The User’s use of the Device is at his or her sole and exclusive risk, and he or she is freely and knowingly assuming all risks and liabilities associated with such use.

B. If you have any questions about the Device usage policy, you can contact the OTS Support Desk for assistance by emailing supportdesk@iit.edu or calling 312.567.3375.
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I. PURPOSE

The purpose of this policy is to establish a digital imaging policy applicable to all University departments and offices that create, use, and manage digital documents on University systems. This policy also provides standards for the operations of these digital imaging systems to allow for the replacement of source documents with digital images for storage and retention, as outlined in Article III, Section B.4 of the University’s Record and E-Mail Retention Procedure No. Q4 Policy.

These standards will ensure that the accuracy, reliability and trustworthiness of digital images can be proven. This policy also serves to protect those records digitized by the University’s imaging system, which reduces required storage space for original documents as the University transitions to a “more paperless” digital system and provides instant and simultaneous access to documents as needed.

This policy supersedes any electronic records system policy previously adopted. This policy will be reevaluated at five (5) years intervals, or upon the implementation of a new information technology system, and will be updated as required.

II. SCOPE AND AUTHORITY

This Policy applies to any document imaging program that destroys source documents and retains images as official copies. Other document imaging may continue; provided; however, the destruction of Source Documents is not authorized as part of any such other document imaging.
For the avoidance of doubt, nothing in this policy is intended to reduce, alter or minimize any department’s of employee’s obligation under the University’s Record and E-Mail Retention Procedure No. Q4 Policy.

III. RESPONSIBLE PARTIES

A. IT DEPARTMENT

The Office of Technology Services is responsible for providing and maintaining secure systems for digital image storage and protection over time. Enterprise Systems, a division of the Office of Technology Services, is authorized to establish and promulgate standards, procedures and techniques for the effective management of University digital records. It is also responsible for preserving the University’s documents and records of legal significance or historical value. Responsibilities include:

1. Installing and maintaining equipment and software;
2. Configuring the system according to University needs, including creating and testing applications and indexes;
3. Controlling permission rights to the system;
4. Maintaining system hardware and software;
5. Establishing audit trails that document actions taken on records stored by the information technology system;
6. Providing backups for system records and recovering deleted imaged records when necessary;
7. Completing a disaster recovery backup at least once every two years;
8. Establishing and providing best practices for using system, vendor training materials, and providing remedial training as needed;
9. Creating and updating detailed procedural manuals describing the imaging process and equipment; and
10. Conducting any necessary batch conversions or batch renaming of imaged records.

B. REGISTRAR

The Office of the Registrar is responsible for ensuring for all systems and applications that new digital imaging repository requests comply with the Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g; 34 CFR Part 99) and the Illinois Tech FERPA Policy. The Office of the Registrar’s responsibilities include:

1. Coordinating with the IT Department on all imaging application requests and determining that all documentation storage and use complies with FERPA policy; and
2. Participating in the design and implementation of campus electronic records initiatives, to ensure consideration of digital imaging applications are FERPA compliant.
C. APPLICATION OWNER

The Application Owner is the Department Head who requests a new digital imaging repository on the digital imaging system. The Application Owner responsibilities include:

1. Coordinating with the IT Department all imaging application requests;
2. Following all retention and disposal policies instructions for any records consistent with the University’s Record and E-Mail Retention Procedure No. Q4 Policy or as indicated by the Department of Education or other applicable governmental authority for the respective Department for Records Creators;
3. Establishing appropriate retention and disposal policies and instructions for any records not covered by the University’s Record and E-Mail Retention Procedure No. Q4 Policy for Records Creators;
4. Managing user accessibility, including approving and removing access, for the department’s imaging application for Records Creators.
5. Reviewing records annually and working with Records Creators to purge records in accordance with the retention schedule; and
6. Guaranteeing that records, regardless of format, be retained for the period of time required by the University’s records retention schedules.

D. RECORDS CREATORS

Records Creators are staff utilizing the imaging application/system. Responsibilities include:

1. Attending and signing off on training conducted by Application Owner;
2. Creating and managing electronic records in their purview in accordance with the policies and other guidance issued by the Department of Education and any other applicable governmental authority and complying with all University policies established by applicable University policies, including, but not limited to, this policy and Record and E-Mail Retention Procedure No. Q4 Policy; and
3. Carrying out day-to-day processes associated with the department’s imaging program, including:
   • Designating records to be entered into the imaging system;
   • Noting confidential information or otherwise protected records and fields;
   • Removing transitory records from the scanning queue;
   • Completing indexing guide form for each record being scanned;
   • Reviewing images and indexing for quality assurance;
   • Naming and storing the scanned images in designated folders;
   • Once approved, destroying or otherwise disposing of original records in accordance with guidance issued by the Application Owner and;
   • Periodically auditing imaged records for accuracy, readability, and reproduction capabilities before the original documents are destroyed.
IV. APPLICATION XTENDER OVERVIEW AND FEATURES

ApplicationXtender is the University’s document imaging system. ApplicationXtender, hereafter referred to as “Xtender”, enables users to query, create, index, and annotate electronic documents in a variety of formats for subsequent retrieval. Capabilities include those noted below.

- Scan documents to create new documents, add to existing documents, or batches. Scanning in Xtender requires the installation of the “Captiva Cloud Toolkit” software. If needed, please ask a LAN Administrator to install the Captiva Cloud Toolkit.
- Add/Import electronic files to Xtender as individual documents, batches, and individual pages.
- Index documents by specifying information in the application-specific index fields, Indexing enables you to organize, search, and retrieve documents efficiently.
- Retrieve documents through queries by using various search methods.
- Attach annotations or redactions to highlight important information, comment on the contents of the page, or block areas of the page from view.
For information regarding IIT's patent and copyright policies, please refer to the Patent and Copyright Policy set forth in Appendix K of the Faculty Handbook, which can be found at http://www.iit.edu/general_counsel/policies/faculty_handbook/pdfs/appendix_k.pdf.
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
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. Responsibility

IIT vehicles, including, but not limited to, cars, vans, trucks, lifts, backhoes, sweepers and tractors, are required to be serviced and maintained by the Department of Facilities (“Department”) in accordance with this policy. The Department may contract for all or part of the services and maintenance required hereunder. The Associate Vice President for Facilities, Real Estate and Construction has primary responsibility for implementing this policy, but he or she may delegate this responsibility to one of his or her directors.

II. Inspections

Every IIT-owned or leased vehicle must undergo an annual inspection by the Department. The annual vehicle inspection should focus on areas of the vehicle that directly affect its safe operation, including steering, tires, brakes, glass, lights, transmission, coolant system, emissions system and horn. The inspector will provide a written, signed report of the areas, equipment and items inspected, including the date of the inspection, name of the inspector, vehicle make, model and identification number, mileage and notations of operating deficiencies. If no operating deficiencies are detected, the vehicle will be deemed to have passed the inspection and may be returned to normal usage; otherwise, correction of any operating deficiency must be completed before the vehicle may return to use. After correction of deficiencies, the vehicle should be re-inspected, as appropriate, before returning to normal usage.

III. Preventive Maintenance

Preventive maintenance is obtained at minimum cost to ensure the maximum utilization of vehicles. To that end, the Department will ensure that preventive maintenance is performed on every vehicle. Preventive maintenance includes complying with manufacturer's service recommendations, using recommended types of gasoline, maintaining proper fluid levels (such as oil, antifreeze coolant, brake and transmission), ensuring proper tire pressure, working signals, lights (including headlamps, turn-signal lights, tail lights, and brake lights) and brakes.

IV. Recordkeeping

A specific file should be maintained for each vehicle, containing all annual inspections reports; evidence that any deficiencies were corrected and the party that performed such work; a log indicating the date and a description of all preventative maintenance and the individual who performed the maintenance; and other information related to the vehicle.
I. PURPOSE

This policy sets forth requirements applicable to all drivers of IIT-owned or leased vehicles ("IIT Vehicles") and certain other drivers. Its goal is to safeguard people, protect equipment and reduce the frequency and severity of vehicular accidents. Driving an IIT Vehicle or driving another vehicle on IIT business is a privilege. If a driver fails to meet the requirements of this policy, IIT reserves the right to deny or revoke driving privileges.

II. SCOPE AND APPLICATION

This policy applies to all IIT employees, students, contractors and agents (each an "IIT Driver"): 

1. Operating an IIT Vehicle as part of their IIT employment;
2. Operating an IIT Vehicle in conjunction with a sponsored research project; and
3. Operating a vehicle other than an IIT Vehicle for IIT-related business at least 20 hours or 200 miles per month on average.

III. DRIVER REQUIREMENTS

An IIT Driver may only drive an IIT Vehicle or drive a non-IIT vehicle for IIT-related business if he or she meets all of the criteria set forth in this policy. IIT may revoke a driver’s right to so drive if he or she does not meet the criteria outlined in or fails to follow the requirements of this policy.

A. Before an IIT Driver may drive an IIT Vehicle or drive a non-IIT vehicle for IIT-related business, he or she must comply with the following:

1. Have had a valid driver’s license for the prior five years for the class of IIT Vehicle or non-IIT vehicle that he or she drives or seeks to drive;
2. Immediately notify his or her supervisor if his or her driver’s license is suspended, revoked or has any limitations or restrictions, and the supervisor should then notify the General Counsel’s Office;
3. If driving a non-IIT vehicle for IIT-related business, have personal automobile insurance in at least the minimum amounts required by Illinois law; and
4. Submit a completed Motor Vehicle Record ("MVR") consent form authorizing IIT or its agent to check his or her MVR.
B. Upon being granted permission to drive an IIT Vehicle or to drive a non-IIT vehicle for IIT-related business, an IIT Driver must adhere to the provisions below. Failure to so adhere may result in the loss of driving privileges.

1. Observe all applicable federal, state and local motor vehicle laws;
2. Report all incidents and accidents involving IIT Vehicles or a non-IIT vehicle being driven for IIT-related business in accordance with established IIT procedures and cooperate in any investigation of the incident and any subsequent proceedings;
3. Wear a seat belt at all times and ensure that all passengers do so; and
4. Maintain a MVR that satisfies the standards for an acceptable MVR as set forth in this policy.

C. All drivers of IIT Vehicles or driving a non-IIT vehicle for IIT-related business are prohibited from engaging in the following:

1. Knowingly operating an unsafe vehicle;
2. Consuming or being under the influence of alcohol or any substance that may cause impairment while driving;
3. Offering rides to unauthorized passengers; and

IV. PROCEDURES

A. Before IIT grants driving privileges to anyone covered by this policy, IIT will determine whether the proposed IIT Driver meets the requirements of this policy, including having an acceptable MVR. To this end, any new prospective driver must submit a copy of his or her driver’s license (and proof of insurance if he or she will be driving a non-IIT vehicle for IIT-related business) along with a completed MVR Consent Form (which is attached) to the General Counsel’s Office. Departments are responsible for ensuring that their drivers have submitted the requisite items. For existing drivers, IIT may at any time review a driver’s MVR to determine if the driver has an MVR that satisfies IIT criteria. Further, IIT anticipates undertaking a random (sampling) review of existing driver’s MVR annually.

B. MVRs will be evaluated in accordance with the following criteria:
<table>
<thead>
<tr>
<th>Type</th>
<th>Description of Violation</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Includes, but is not limited to, DWI or DUI, refusing substance test, reckless driving, manslaughter, hit &amp; run, eluding police, any felony, drag racing, license suspension and driving while license suspended</td>
</tr>
<tr>
<td>B</td>
<td>Includes all at fault vehicle accidents and speeding violations of 26 miles per hour in excess of the posted speed limit</td>
</tr>
<tr>
<td>C</td>
<td>Includes all moving violations not classified as Type A or Type B, such as speeding 25 miles per hour or less, improper lane change, failure to yield, or running a red light</td>
</tr>
<tr>
<td>D</td>
<td>Includes all non-moving violations, such as illegal parking and vehicle defects</td>
</tr>
</tbody>
</table>

C. For new (prospective) drivers of IIT Vehicles, if said driver has been cited for or involved in the violations listed below, then said driver will be deemed not to have an acceptable MVR and will not be granted IIT driving privileges. For IIT Drivers, if the IIT Driver is found to have been cited for or involved in the violations listed below, then said IIT Driver will be deemed to no longer have an acceptable MVR and will have his or her IIT driving privileges revoked. The applicable violations are as follows:

1. One or more Type A violations in the preceding 36 months;
2. Two or more Type B violations in the preceding 36 months;
3. Three or more Type C violations in the preceding 36 months; or
4. One Type B violation and two Type C violations in the preceding 36 months.

Further, if after being granted driving privileges, an IIT Driver is found to have been cited for or involved in the violations listed below, the IIT Driver will no longer be deemed to have a per se acceptable MVR, and IIT may, at its discretion, suspend his or her IIT driving privileges for a period of up to 6 months:

1. One Type B violation in the preceding 24 months;
2. Two Type C violations in the preceding 24 months;
3. Four or more Type D violations in the preceding 24 months.

An IIT Driver may only be suspended twice. A violation of any type during the 12 months following two suspension periods will lead to the immediate revocation of driving privileges.

For purposes of this policy, IIT will assume the accuracy of the MVR, and an IIT Driver will not be able to challenge a decision to deny, suspend or revoke one’s driving privileges due to alleged errors in the MVR.

D. In the event an IIT Driver’s MVR is found to be unacceptable, the General Counsel’s Office will contact the IIT Driver’s supervisor, as well as Human Resources, if the IIT Driver is an employee, to notify them of the denial, suspension or revocation of driving privileges. If the IIT Driver disagrees with the determination based upon alleged errors in the MVR, he or she must
address these matters with the relevant officials of the Illinois Secretary of State’s Office. If in fact the MVR was inaccurate, IIT will review the person’s MVR upon notification from him or her that the MVR has been corrected.

V. PROHIBITION ON THE USE OF CELL PHONES AND TEXTING

Consistent with best practices for safe driving as well as federal, state and local laws, no individual covered by this Policy may (i) use a non-hands-free cell phone to make or receive calls or (ii) read, enter or send text messages, e-mails, instant messages or the like while operating a vehicle on an active roadway with the motor running, including while temporarily stationary because of traffic, a traffic light, stop sign, or otherwise. Such activities are permissible only when the vehicle, with or without the motor running, has been pulled over to the side of, or off, an active roadway and has been halted in a location where it can safely remain stationary. The foregoing prohibition does not preclude glancing at or listening to a navigational device that is secured in a commercially designed holder affixed to the vehicle, provided that the destination and route are programmed into the device either before driving or while stopped in a location off the roadway where it is safe and legal to park.

VI. ENFORCEMENT OF POLICY

Failure to meet the conditions of this policy, including maintaining an acceptable MVR, may result in the denial, suspension or revocation of driving privileges, reassignment to a non-driving position and/or disciplinary action as provided for and in accordance with applicable IIT policies.
Illinois Institute of Technology  
Motor Vehicle Report Consent Form

I __________________________ give my consent for IIT to complete a background check on my previous driving record in accordance with IIT’s policy on the Driving Privileges. As part of this procedure, IIT has my permission to order Motor Vehicle Records (MVRs) from any and all states in which I currently hold and previously held a driver’s license. I understand the IIT has established MVR review criteria against which my driving history will be compared to determining my driving eligibility. I further understand that failure to grant consent to IIT to conduct such a background check means, at a minimum, that I forfeit my driving privileges. In the event that I forfeit my driving privileges, I understand that if my job duties include driving, my duties will be reviewed to determine whether I can continue my position without driving IIT vehicles and, if so, which additional non-driving duties IIT will require me to perform.

I agree to release any agent that IIT retains in connection with securing my MVR for all liability arising from its access to or disclosure of information under this form.

_________________________________  _______________________
(Signature)  (Date)

Applicant’s Name:________________________ Position:________________________

Department:________________________ Date of Hire:________________________

Social Security #:______________________ Sex:______ Date of Birth:________________________

Driver’s License #:________________________ State:________________________

Driver’s License #:________________________ State:________________________

Driver’s License #:________________________ State:________________________