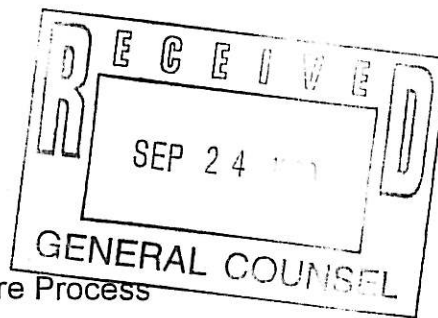


*File
Promotion & Tenure*

Illinois Institute of Technology

Lewis Collens
President
Illinois Institute of Technology
10 West 33rd Street
Chicago, Illinois 60616-3793
Telephone 312 567 5198
Fax 312 567 3004
email collens@admin.iit.edu

DATE: September 23, 1999
TO: University Faculty
FROM: Lew Collens
RE: Guidelines for Promotion & Tenure Process



The 1998/99 University Committee on Promotion and Tenure (UCOPT) drafted the attached interpretation of Appendix C of the Faculty Handbook.

I have reviewed it with the Chief Academic Officer from each of the campuses and they concur with the committee's recommendations.

enc
cc: Senior Staff

University Guidelines Concerning Promotion and Tenure Requirements

The following guidelines for the promotion and tenure process are suggested by the President and UCOPT as appropriate means to implement Appendix C. While they do not constitute formal rules as such, they are intended as guidelines for good practice, significant deviation from which will be considered cause for concern by UCOPT and the President.

I. USE OF WRITTEN STANDARDS: Each academic unit should develop a set of written standards concerning the requirements for promotion and tenure by which to assess a candidate's progress in rank. These standards should be:

A. Communicated to each person hired for the tenure-track faculty when that person is hired and at any subsequent time when the standards are amended;

Note: The candidate should be advised that the standards are subject to change.

B. Used by the academic unit to assess the progress toward tenure of each tenure-track faculty member before the end of any contract period that ends before the tenure review is to be conducted;

If a pre-tenure review is conducted, the results thereof should be recorded in a writing that should be included in any eventual tenure report of the AUCOPT; the results of the review should be communicated to the subject faculty member, but each academic unit may decide whether to provide the writing to the faculty member.

C. Used as the basis of the assessment in each AUCOPT report involving a promotion or tenure decision.

II. CONTENTS OF WRITTEN STANDARDS: The written standards for promotion and tenure developed by each academic unit should contain the following:

A. An indication of the factors to be considered in assessing the quality of the candidate's teaching. In addition to student evaluations of teaching, this should include use of several (e.g., three) written, peer evaluations by faculty members who attend class sessions of the principal courses taught by the candidate at some time

prior to each decision on promotion, tenure, or pre-tenure contract renewal.

Note: Peer evaluations should be included in any AUCOPT report on the candidacy; the academic unit may decide whether the written evaluations are delivered to the candidate.

B. An indication of the factors to be considered in assessing the quality of the candidate's research and scholarship, which should include a good number (e.g., 8 to 12) of letters evaluating the candidate's scholarship, no more than a quarter of which should come from colleagues at IIT, and a substantial number of which should be suggested by the academic unit from outside the list of suggestions provided by the candidate. All external evaluations should be drawn, to the extent practicable, from scholars at institutions comparable to or above IIT in terms of reputation or prestige or unusually important scholars who happen to be at schools of lesser reputation or prestige.

C. An indication of the factors to be considered in assessing the quality of the candidate's service to the institution in terms of committee work, student recruitment, etc., and service to the profession as a whole in terms of organizing professional conferences, holding office in professional societies, etc.

III. FORMAT FOR CANDIDATE'S DOSSIER: The following outline is recommended for the content of a candidate's file presented to UCOPT and by UCOPT to the President.

A. Transmittal Letters, as appropriate to the stage of the process:

1. UCOPT Letter - should include the vote, the overall recommendation, and statements supporting the recommendation with reference to the written standards adopted by the academic unit (see I and II, supra). If the recommendation differs significantly from the AUCOPT and/or CAMCOPT recommendation, an explanation should be included in the letter.

2. CAMCOPT Letter - should include the vote, the overall recommendation, and statements supporting the recommendation with reference to the written standards adopted by the academic unit (see I and II, supra). If the recommendation differs significantly from the AUCOPT recommendation, an explanation should be included in the letter.

3. AUCOPT Letter - should include the vote, the overall recommendation, and statements supporting the recommendation with reference to the written standards adopted by the academic unit (see I and II, supra); the report

generated by any pre-tenure review (see II.B, supra) should be attached.

B. Academic Unit Standards and Guidelines for the Evaluation of Its Faculty (see I and II, supra, and section 1.3 of Appendix C in the Faculty Handbook).

C. Materials Provided by the Candidate

1. Candidate's CV assembled by the candidate.
2. Relevant supporting documents, including copies of principal publications. If more than six publications are submitted, the candidate should designate the six most important.
3. Personal statement of accomplishments, future plans and aspirations (as required by section 2.4.1 of Appendix C in the Faculty Handbook).

D. Materials Used in the Evaluation of Teaching - includes student ratings of the candidate's teaching, student testimonies, peer reviews, sample course materials, etc. Voluminous items (e.g., originals of course evaluations by students) need not be included if they are summarized in AUCOPT's report; they may, if desired be included as Appendices.)

E. Materials Related to Evaluation of Research and Scholarship

1. Brief biographies of external evaluators, prepared by AUCOPT or the academic unit head, including an indication as to which referees were suggested by the candidate and which were suggested by the academic unit.
2. Letters evaluating research or scholarship. Every letter that is received must be included.

F. Additional Supporting Material - as assembled by AUCOPT, CAMCOPT or UCOPT.

RECEIVED

ILLINOIS INSTITUTE OF TECHNOLOGY
INTEROFFICE MEMO

122 1999

DEPARTMENT'S OFFICE

John Root

TO Lewis Collens, President
FROM John D. Root, Chair, University Faculty Council
DATE November 18, 1999
SUBJECT Guidelines for Promotion & Tenure Process

The University Council have ask that I meet with you to express our concerns that the document entitled "University Guidelines Concerning Promotion and Tenure," which you distributed to the IIT faculty attached to a memorandum dated September 23, 1999.

The feeling of the UFC is that the issuance of this document constitutes a unilateral changing of procedures which may impact upon relevant portions of the Faculty Handbook and which, therefore, should not be implemented without broader faculty discussion, beginning with formal consultations with the Main Campus and Downtown Campus Faculty Councils.

My hope is that we can arrange to meet before the end of this semester, at which time I will be prepared to present you with a more detailed statement of our concerns.

CC: Professor John O'Leary, Chair, Main Campus Faculty Council
Professor Charles Hamilton, Chair, Downtown Faculty Council

*MAG
Deby's fin to
provide a meeting
on Dec w/ Root & I
will want you there
all 3 of*

CCMAG

ILLINOIS INSTITUTE OF TECHNOLOGY
INTEROFFICE MEMO

TO Lewis Collens, President

FROM John D. Root, Chair, University Faculty Council

DATE November 30, 1999

SUBJECT Guidelines for Promotion & Tenure Process

This memorandum presents a detailed statement of the concerns expressed by the University Faculty Council concerning the document entitled "University Guidelines Concerning Promotion and Tenure," which you distributed to the IIT faculty attached to a memorandum dated 23 September 1999.

President Collens' memorandum states that the 1998/99 University Committee on Promotion and Tenure drafted "the attached interpretation of Appendix C ["Revised Standards and Procedures for Promotion and Tenure"] of the Faculty Handbook," and that the two campus Chief Academic Officers concur with the recommendations.

The "Preface" to the distributed document states that the Guidelines "are suggested by the President and the UCOPT as appropriate means to implement Appendix C." It further states that "While they do not constitute formal rules as such, they are intended as guidelines for good practice, significant deviation from which will be considered cause for concern by UCOPT and the President."

PROCEDURE. Several faculty members have expressed their opinion to members of the campus faculty councils that, apart from the specific recommendations made in the document, there are serious procedural questions involved:

1) However needed or desirable such guidelines might be, the UCOPT, not being a committee of the faculty, does not have the constitutional authority to put forward such recommendations. With all the renewed efforts to make "shared governance" a reality, it is strange that none of the faculty councils was aware that the UCOPT had been so empowered by the President.

2) Neither does the President have the constitutional authority to add to or abrogate unilaterally any section of Appendix C of the Faculty Handbook. The process for initiating changes of policy or procedure are made explicit in the recently adopted Appendix P of the Faculty Handbook. This process mandates the involvement of the University Faculty Council.

3) The President and others may feel that the new "Guidelines" do not constitute an addition to or abrogation of any section of Appendix C, but the UFC feels that reasonable people could conclude otherwise, and so long as any ambiguity exists the proposed "Guidelines" deserve much

wider faculty discussion.

4) The University Faculty Council is of the opinion that if the President or the 1998/99 UCOPT felt there was a need to "interpret" Appendix C, that charge should have been given to the ad hoc Faculty Handbook Revision Committee, whose suggestions then could have been presented to the MCFC and the DTFC, then to the UFC, and finally to the university faculty as a whole. Minimally, the UCOPT/President's document should have been presented to the faculty councils before its promulgation.

4) Several faculty have noted that the President's disclaimer that the contents of the "do not constitute formal rules as such," but only "guidelines for good practice," is inconsistent with the concluding words in the "Preface." Not only could reasonable people conclude that the President and the two campus CAOs in fact do consider the proposed guidelines as rules, there is evidence that this is indeed the case.

THE RECOMMENDATIONS. The following is a compilation of comments and observations directed to members of the faculty councils about specific items in the proposed "Guidelines," along with my personal. The comments follow the paragraph numbers.

I. Use of Written Standards. Both this "guideline" and the first part of I.A are redundant, since they already exist as rules in Appendix C.1.2, "Documentation of Standards."

I.A. Note. Nearly every faculty communication to members of the faculty council expressed great concern about advising junior faculty that "the standards are subject to change." While the administration may see fit to change its standards at will and according to what it perceives to be in the interest of the University, the faculty cannot easily do this. In any event, this sentence seems more a "rule" than a guideline, and therefore a *de facto* change to Appendix C.

I.B. Though Appendix C does not specify specific evaluation procedures for renewal of contracts, or pre-tenure review, it is understood implicitly that the criteria are essentially the same as those listed in the Written Standards for promotion and tenure published by the various Academic Units. It is the second sentence, concerning "pre-tenure review," that causes faculty *concern*. This clearly is not an "interpretation" or a guideline but constitutes the introduction of a new rule, another *de facto* change to Appendix C. This is substantive matter which deserves broad faculty discussion, beginning within each academic unit, before implementation.

I.C. Totally redundant sentence. Obviously the written standards will be used as the basis for assessment; that is why they were written! Not to mention that it already is specified in Appendix C.2.3.3.

II. Contents of Written Standards. This section specifies some of the things which should be contained in the written standards of each Academic Unit. Most of II.A, which states the factors to be considered in assessing teaching, is redundant. It already is stated fully (and much better than in II.A) under "Teaching and Educational Achievements" in Appendix C.1.3.2.2, which calls for regular peer evaluation of teaching. (Granted, a number of AUs have not followed

Appendix C to the letter and don't think highly of peer teaching reviews.)

II.A. **Note.** Two comments. 1) Regular peer evaluations ^{of} are meaningless unless fully shared with the candidate, and allowing the candidate to respond. Appendix C.1.3.2.2 says as much. Thus it should not be left up to each AU to decide whether to "deliver" written evaluations to the candidates. 2) Again, Appendix C.1.3.2.2 already specifies that a written report, based on peer evaluations, be included with the AUCOPT recommendation. No purpose would be served by including copies of each individual written peer evaluation report, as these constitute "raw data."

II.B. This section has caused a great deal of discussion amongst the faculty, most of it negative. It seems to challenge the integrity of existing AUCOPT policies. Of course, each AUCOPT recommendation should contain a sufficient (rather than a "good") number outside letters. But it should be left to each AU to determine what constitutes a sufficient number. Obviously the conventions will vary among disciplines. The important point to emphasize is that the outside letters be credible. Further, according one faculty communication, it would be embarrassing to IIT if faculty in other institutions were to read the last sentence. Again, conventions will vary among disciplines, but in more than a few instances, the best person to solicit for an evaluation is the best person, regardless of institutional affiliation. How shallow to assume that a letter from U.C.-Berkeley should be given more weight than one from the University of Delaware!

* { (The UFC was told by a former member of the UCOPT that the felt need for this passage stemmed from their having seen one or more portfolios containing a clearly insufficient number of outside letters, or where the authority of the referees was not shown. In such cases, the UCOPT simply should throw the case back to the COCOPT and AUCOPT for not having done their jobs properly!)

{ At any rate, to suggest (i.e., specify) 8 to 12 letters, etc., constitutes a rule, not merely a guideline, and is a *de facto* amendment to Appendix C.2.3.3. And it establishes a hurdle even our best junior faculty may not be able to leap over. In fact, it could sink some very capable people. The notion that there will be 10-12 stellar scholars out there who will be familiar with the entire work of a 32-year-old historian or philosopher is, quite frankly, ludicrous. And the idea that the same group of scholars would be willing -- without a fee -- to write on behalf of someone they as yet may not have heard of is just as ludicrous. One faculty member suggested that if every university required 10-12 letters, many of us would be spending 2-3 times as much time writing them. And the COPTs would spend 2-3 times as much time reading them.

(At least 10 memos noted that in II.B, IIT again has become **ITT**.)

II.C. **Service to the Institution and/or Profession.** Another unnecessary section. All of this is covered in considerable detail in the two paragraphs in Appendix C.1.3.3. "Service to the department, university,, and profession."

III. **Format for Candidate's Dossier.** Paragraphs III.A.1-3 will seem reasonable to most faculty,

but again it must be noted that, though in inverse order, these specifications regarding the contents of the transmittal letters constitute *de facto* amendments to Appendix C.2.3.3-5. Curiously, though it long has been standard practice for the COPTs to report the vote, it is not so mandated in Appendix C. Perhaps it should be. But let it be done constitutionally.

III.A.3. A few sharp eyes noticed the new guidelines say that, in the AUCOPT transmittal, "the report generated by any pre-tenure review (see II.B [sic], supra) should be attached." As stated above, paragraph I.B is a substantive matter which should be allowed broad faculty discussion before implementation. The first question is whether there is a valid purpose for an elaborate written report of a pre-tenure review. The second is whether there is a legitimate reason to include such a report with a tenure dossier. Whomever suggested all this must be prepared to provide a sound justification to the faculty.

(Actually, of all the problematic aspects of the "Guidelines," the matter of written pre-tenure review reports needs to be addressed before others, simply because if such reports do become mandatory for later inclusion into AUCOPT tenure case transmittals, they must be prepared for faculty currently undergoing third- or fourth-year reviews. Some faculty have told me that, in the interest of the candidate, they feel obligated to follow this provision in the "Guidelines" so they won't run into difficulties three or four years hence. On the other hand, the same faculty feared that by preparing such a report for their candidate, then they, *de facto*, would be accepting a "guideline" that they would rather see left aside.)

III.B. Redundant. This line even refers to its existence in Appendix C!

III.C. **Materials Provided by the Candidate.** III.C.1. Redundant. Obviously the candidate submits a CV; Appendix D even provides a suggested format.

III.C.2. **Relevant Supporting Documents.** The only charitable interpretation of this interpretation is that members of the 1998/99 UCOPT (or the President and Vice Presidents) didn't like large candidate dossiers! Candidates should be encouraged to submit every legitimate publication or additional relevant material. Let his or her peers adjudge which are "most important." If an understandably overwhelmed member of the UCOPT or a COCOPT hasn't time or energy, or the requisite expertise, to wade through a stack of publications, go to the AUCOPT recommendation and to the letters from outside referees!

III.C.3. Redundant. Again this line even refers to its existence in Appendix C.

III.D. **Materials Used in Evaluation of Teaching.** More redundancy. All of this has been standard practice, except for AUs who haven't 1) read Appendix C, or, 2) have never served on a COCOPT or on UCOPT. Several faculty have asked what "sunu-narized" means.

III.E. **Materials Related...** It is sad to think that an AUCOPT or AU head must be reminded to submit the credentials of outside referees. More problematic, however, is the requirement that there be an indication of which referees were suggested by whom. Two points must be made

here: 1) Both the candidate and the AU head (or any other member of the AUCOPT) more than likely will come up with more than a few of the same names of potential referees; 2) In some academic disciplines, and even more so in multi-disciplinary AUs, the AUCOPT will be hard pressed to come up with more than a few names to approach. A modest dependence on suggestions from the candidate does not mean that an AUCOPT abandons its critical sense. Also, if a candidate had *not* made the acquaintance of significant scholars in his or her field, I would think less of them!

III.F. What is this line doing here?

III. 2(sic). **Letters.** This one caught the eyes of several faculty. Why must "Every letter that is received be included"? Did this come from the 1998/99 UCOPT or the President? At first glance, this "guideline" (stated quite clearly as a rule) might seem benign, or perhaps someone suspects that an AUCOPT has held back a "bad" letter. Or perhaps the AU head lacks integrity. However, if asked, I am prepared to present several concrete examples of why this should not become a rule and, in general, why each AU deserves the maximum amount of autonomy in preparing candidates so that there is a 50-50 chance they can traverse the mine field in one piece.

COMMENTARY. You are aware, of course, that documents sometimes take on a life of their own. And the "Guidelines" already seem to be doing just that. In fact, in much of the talk around campus, they are being referred to as the new "tenure standards."

Reports coming out of meetings of the Academic Leadership Council give the impression that Vice President Cooper believes the new "tenure guidelines," as promulgated by you, are "legal and binding." Cooper has been stressing the need for 10 or more letters from outside referees and has generally defended the range of things covered in the document, emphasizing the need for "uniformity" at the expense of academic unit discretion and varying academic unit needs. When one AU head expressed dismay that the Chairs had not been asked for their input, Cooper responded the document did not come from him or the President, but that it "follows the Handbook exactly. It is the work of a faculty committee and can always be amended.... If you have difficulty with what the committee does, you need to elect better people to committees." Though Cooper may be forgiven for not knowing that the UCOPT is not elected and is not, properly speaking, a faculty committee, his remarks are revealing.

Cooper also told the ALC that the President had surveyed past UCOPT decisions and, discerning that there was "no clear pattern," thought that the process had to be made more objective. And it was Cooper's opinion that this document, which he said was finalized in July, "levels the playing field." He then cited the example of some candidates "coming in with three letters and all from weak schools or from their friends." Of course, that is ludicrous. But a more effective response to that sort of stupidity on the part of both the candidate and the erring academic unit is to rain heavy on them, to have the COCOPT and/or UCOPT send the package back, not suddenly to drop a document on the whole faculty. Cooper also told the Chairs that the document was not dropped on them. "You have a year to get ready." (This, of course, is disingenuous.)

Even some prominent faculty who are not upset by the "ten letters thing" are furious that the new "standards" were imposed from above. The University Faculty Council believes it imperative that a process be established to consider the suggestions made in the "Guidelines" document you distributed. Above all, we respectfully urge that no changes be implemented which affect Appendix C of the Faculty Handbook prior to their consideration and adoption by established, constitutionally sanctioned channels of faculty governance.

CC: Professor John O'Leary, Chair, Main Campus Faculty Council
Professor Charles Hamilton, Chair, Downtown Faculty Council
✓ Ms. Mary Ann Smith, University Counsel

12/6/99

J Post: suggestion

refer to Academic Affairs Committee of UFC -

means to UFC and UCOPT

LC: memo:

misunderstanding about intent
guidelines, not Rules

UCOPT advice to AK

AK determines how to apply

UCOPT: working chair: Dr. Arditi

mtg:
• J Post
• J O'Leary
• H Eglet
• M. Lien

Illinois Institute of Technology

Lewis Collens
President

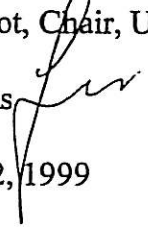
Illinois Institute of Technology

10 West 33rd Street
Chicago, Illinois 60616-3793

Telephone 312 567 5198

Fax 312 567 3004

email collens@admin.iit.edu

To: John D. Root, Chair, University Faculty Council
From: Lew Collens 
Date: December 2, 1999
Subject: Guidelines for Promotion and Tenure Process

This will respond to your thoughtful memorandum of November 30, 1999 expressing the concerns of the University Faculty Council concerning the above document. Your memorandum raises several concerns that I believe should be addressed.

It is apparent that there has been some misunderstanding about the purpose and intent of the document. It was intended to provide guidance to the academic units about the material to be included in promotion and tenure files. It was intended to complement policies and procedures set out in Appendix C of the Faculty Handbook, and not to change or add to those policies and procedures. The word "guidelines" was deliberately used in the title because the document was intended to provide guidelines and not rules.

I believe that the UCOPT members who drafted the guidelines had some legitimate concerns about the contents of candidates' portfolios. The campus chief academic officers were of the view that the guidelines met their expectations for material that they needed to make their recommendations. I suggest that the chair of the 1999-2000 UCOPT meet with you to discuss a process for review and possible revision of these guidelines, consistent with the objectives of UCOPT and the concerns you have raised. You have indicated that the Academic Affairs Committee of the University Faculty Council would be the appropriate group to work with UCOPT.

I would appreciate receiving a report of that review, which I will then discuss with the campus vice presidents and the academic unit heads.

I apologize for any misunderstanding caused by distribution of the Guidelines document, and I appreciate your calling the matter to my attention.

cc: S. Cooper
H. Perritt
D. Ardit
Z. Hassan
A. Myerson
M. E. Mitchell
D. Robertson
P. Whitney

To: Professor John Root, Chair, University Faculty Council

From: Ullica Segerstrale, Chair, Academic Affairs Committee
Peter Beltemacchi, Member
Howard Eglit, Member
George Kraft, Member
John O'Leary, Member

Date: April 20, 2000

Subject: UCOPT's Proposed University Guidelines Concerning
Promotion and Tenure Requirements

I. Background

As you know, last Fall the 1998/99 incarnation of UCOPT submitted to the president of the University a document, entitled Proposed University Guidelines Concerning Promotion and Tenure Requirements. This proposal apparently was devised by UCOPT on its own initiative, and reflected the then-members' views that there was a need for clarification and guidance regarding promotion and tenure. On September 23, 1999, transmitted these guidelines to the University faculty. In that memorandum he wrote that the proposal had been drafted by UCOPT as an "interpretation" of Appendix C of the Faculty Handbook. Without setting forth his own view on the matter, he did state in the memorandum that he had reviewed the proposal with the chief academic officer for each of the campuses and that each concurred with the proposal.

Subsequently, John Root, the Chair of the University Faculty Council, sent a memorandum, dated November 18, 1999, to President Collens in which he communicated the fact that the Council had some concerns regarding the proposed guidelines. He wrote that the Council read the document as embodying unilateral changes of procedure that implicated provisions of the Faculty Handbook, and accordingly the Council was of the view that the guidelines should not be implemented without further faculty discussion. Chairman Root next submitted to President Collens a memorandum, dated November 30, 1999, in which he detailed a number of problems, issues, and questions that arose out of the proposed guidelines.

By memorandum of December 2, 1999, President Collens responded to Chairman Root. President Collens expressed agreement with the proposition that there were "several concerns that...[he] believed [d] should be addressed ." He further assured Chairman Root that the guidelines were only "intended to complement policies and procedures set out in Appendix C of the Faculty Handbook, and not to change or add to those policies and procedures." He recognized that there was "some misunderstanding as to the purpose and intent of the" guidelines, and he graciously apologized "for any misunderstanding caused by distribution of the Guidelines document." President Collens suggested that the chair of the 1999-2000 UCOPT meet with the Academic Affairs Committee of the Council to "discuss a process for review and possible revision of these

guidelines, consistent with the objectives of UCOPT and the concerns you have raised.” Obviously, then, the proposed guidelines are for the time being in administrative limbo.

The Academic Affairs Committee (AAC) has met on two occasions to discuss the proposed Guidelines. While the chair of UCOPT - Professor Arditi – was afforded an opportunity to participate in the then-future deliberations of the AAC, he informed Professor Root that Professor Segerstrale, who is both the chair of the AAC and a member of UCOPT, could represent the views of UCOPT in the AAC’s deliberations. This suggestion was made with the understanding that ultimately Professor Arditi would be apprised of any position taken by the AAC and/or the full Faculty Council.

II. Conclusions

The Committee has arrived at two basic conclusions. **First**, the proposed guidelines indeed embody significant changes in existing policy. **Second**, the process that has generated these proposals did not comply with the procedures set forth in Appendix P of the Faculty Handbook. We discuss both of these conclusions below.

III. Changes in Policy

We first address the fact that the proposals embody significant changes in existing policy. Our discussion is not intended to be comprehensive, but only serves to highlight some of the substantive changes set forth in the UCOPT document.

By way of example, we note that the proposed guidelines provide, in Section II. B., that a candidate for promotion and/or tenure shall submit “a good number (e.g., 8 to 12) of letters evaluating the candidate’s scholarship.” In addition, the same section further provides that “no more than a quarter” of these letters should come from IIT colleagues of the candidate. And the same section further provides that “a substantial number” of these letters should come from reviewers “outside the list of suggestions provided by the candidate.”

Each of the foregoing directives is new: none of them is set forth in existing Appendices C or D. Moreover, there are other examples that have been addressed by Chairman Root in his memorandum of November 30, 1999, to President Collens, and there may be others as well.

IV. Failure to Followed Prescribed Procedures

While the guidelines represent a no-doubt good faith effort by last year’s UCOPT, that good faith effort is not in compliance with Appendix P of the Faculty Handbook, which prescribes the processes for changes of policy and procedure.

A. Lack of Explanation and/or Justification

Any new or revised policy that is (or should be) proposed for placement in the Faculty Handbook "must," according to Section I of Appendix P, "include . . . an explanation of and/or justification for the proposal." No such explanation and/or justification was presented by UCOPT here. Nor did President Collens' memorandum of September 23, 1999, which he submitted to the faculty in accompaniment with the UCOPT proposal, provide any explanation and/or justification for the changes proposed.

B. Proposals by Faculty Members

Section I. A. of Appendix P sets forth a process to be followed with regard to proposals submitted by faculty members. The process entails submission of the proposal to the University Faculty Council (UFC), which then is to solicit comments from the Opposite Campus Faculty Council and from other academic units, this all to be followed by a transmittal of the proposal to the president with appropriate supporting or explanatory materials. It is only after this initial involvement by the UFC that the president is authorized to seek comments from the university's academic leadership. (App.P., Section I.A). Here, of course, the process was short-circuited, with the UFC, the Opposite Campus Faculty Council, and other academic units being excluded from the process.

C. Proposals by the Administration

An administration proposal entailing new or revised policies or procedures for the Faculty Handbook (or that should be included in the Faculty Handbook) is to be transmitted by the president to the chair of the UFC, who then is empowered to refer it to the campus councils, which in turn are authorized to refer the proposal to the academic units for discussion. (App. P., Section I.B.) Comments are filtered back up to the UFC, which then submits its comments to the president. (App. P., Section I.B.) Here, again, the involvement of the UFC was short-circuited, with President Collens simply sending the new "guidelines" to all faculty on September 23, 1999. (We appreciate that there was an apparent notion that these so-called guidelines did not constitute changes in policy and so did not trigger Appendix P, but since that understanding was an erroneous one, in our view, it follows that Appendix P indeed is applicable.)

V. Resolution of the Issue

In the view of the Academic Affairs Committee, the proposed guidelines – whatever commendable provisions might be embodied within them – cannot be implemented. What we suggest, then, is the following:

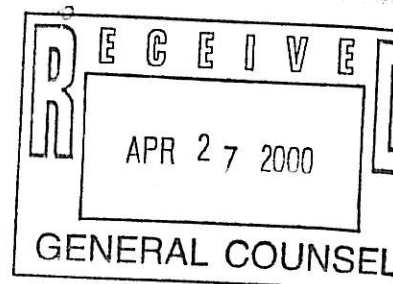
For the sake of clearing the bureaucratic table, so to speak, UCOPT should be requested to rescind its proposed guidelines. Then, if the current members of UCOPT feel that it would be useful to formalize some procedural or substantive matters concerning its activities,

UCOPT should consult with the University Faculty Council and make known its concerns. Indeed, UCOPT and/or UCOPT members can do more: they can submit their proposals to the Council. The Council will be happy to meet with UCOPT members and to accord full credence to their suggestions.


Depending upon the Council's approval of any proposed changes, the Council, if there indeed are changes that are deemed deserving of adoption, will then pursue the procedures mandated by Appendix P regarding changes in policy.

While we conclude that the proposed guidelines fail to comply with Appendix P and are thus not appropriate, within the framework of University governance as set out in the Faculty Handbook, for adoption and/or implementation, we certainly do not intend to imply a resistance to change. Rather, we welcome the interest and involvement of any and all faculty members, as well as members of the administration, in improving the faculty governance system.

ILLINOIS INSTITUTE OF TECHNOLOGY
INTEROFFICE MEMORANDUM



TO: Lewis Collens, President

FROM: John D. Root, Chair, University Faculty Council 

DATE: April 25, 2000

SUBJECT: Proposed Guidelines Concerning Promotion and Tenure

The University Faculty Council has accepted the attached report of the Academic Affairs Committee and has directed me to forward it to you. As you will see, the Report concludes that the proposed guidelines embody significant changes in existing policy and that the process that generated the proposals was not in compliance with established procedures.

The Report further concludes that the proposed guidelines cannot be implemented and proposes that it would be appropriate for the UCOPT to rescind them. If the members of the current UCOPT feel that it would be useful to propose substantive changes to the policies and procedures embodied in Appendix C of the (revised) Faculty Handbook, they are invited to express their concerns in consultation with the UFC or to submit formal proposals for the UFC's consideration.

I believe that the Report's analysis and recommendations are judicious and are made in the spirit of the best interests of university joint-governance. It is my recommendation that you inform the Academic Leadership that you endorse the Report's conclusion that the proposed guidelines cannot be implemented.

Cc: ✓ Mary Anne Smith, University Counsel
David Arditi, Chair, 1999-2000 UCOPT
Ullica Segerstrale, Chair, UFC Academic Affairs Committee
UFC Membership

INTEROFFICE MEMORANDUM

TO : John Root, Chair, University Faculty Council
FROM : David Arditi, Chair, UCOPT
CC : Lew Collens, President, IIT; Members of UCOPT
DATE : May 3, 2000
SUBJECT : Guidelines Concerning Promotion and Tenure Requirements

Based on its sense of the prevailing and appropriate expectations in promotion and tenure review, last year's UCOPT produced explicit guidelines concerning the promotion and tenure processes. This was done in order to give adequate notice to departments about what UCOPT is looking for in assessing files, to minimize the lack of consistency between the portfolios of candidates from different departments, to create a level playing field for all candidates, and to make UCOPT's job easier. In other words, the development of the Guidelines by UCOPT was a good faith effort on the part of the duly constituted committee *of the faculty* to streamline the promotion and tenure process for the benefit of everyone concerned, including candidates, COPT members and administrators. The Guidelines were not intended to be strict rules the violation of which would automatically be grounds for denial of tenure or promotion, but rather only general norms that provide guidance to all concerned by alerting parties as to the potential sources of difficulty during UCOPT review of files. The Guidelines themselves state this point unmistakably.

Contrary to the conclusions stated in the April 20, 2000 report of the Academic Affairs Committee of the Faculty Council, last year's UCOPT believed, and its present membership concurs, that UCOPT acted well within its jurisdiction in producing these Guidelines and that the Guidelines comply with both the letter and the spirit of the university by-laws, including Appendices C and D. For example,

Appendix C mandates the use of outside letters of evaluation of scholarship, but does not state how many are required. Candidates and departments naturally wonder how many such letters are expected by UCOPT. The Guidelines address this by saying that the expectation is of a "good number (e.g. 8 to 12)" subject once again to the caveat that this is not a hard and fast rule and that deviation from the expectation merely causes concern that the department will want to address. This kind of guidance is extremely important and in no way prohibited by the letter or spirit of Appendix C.

The present members of UCOPT nevertheless regret that the University Faculty Council was not consulted before submitting the Guidelines to the President. Although there is no legal or moral requirement of such consultation in this context, we believe it would have been wise for UCOPT to undertake to obtain input from the Faculty Council at that time. Since then, the Faculty Council has been given opportunity to comment, but so far has chosen only to challenge the procedure employed in generating the Guidelines. We continue to believe that such consultation could be helpful, and, although we cannot speak for the President in regard to administrative reviews, we stand prepared to modify the Guidelines in regard to our expectations if and when substantive problems are identified. Alternatively, the University Faculty Council may want to initiate a process to modify Appendices C and D if it deems that necessary. However, rescinding the Guidelines at this point in time is likely to create a vacuum concerning the review of future candidates, or worse still a vacuum of *announced* procedures while inevitable but *unannounced* expectations remain in place. Secret expectations are not what this process needs.

In any event, if the Faculty Council is not content with the explanation provided here, UCOPT suggests that this issue be discussed in a broader forum, such as a university faculty meeting.


DRAFT

ILLINOIS INSTITUTE OF TECHNOLOGY

Date:

To: David Arditi and John Root

Subject: Guidelines concerning promotion and tenure

CC: Hank Perritt and Stuart Cooper

David and John:

I have read the report of the Academic Affairs committee and the UCOPT response memorandum.

There are clearly different views about the process issues involved and perhaps there are different views about substance.

I would like to ask the two of you to meet with Hank Perritt and Stuart Cooper to come up with a resolution of this matter.

In discussing how to proceed I think it is important for everyone to understand that there is an administrative interest, represented by Hank Perritt and Stuart Cooper, in having a process that provides information that enables the two of them and the Academic Unit Heads to make their own independent recommendations.

Stuart Cooper will convene the meeting at a time convenient for all.