

Appendix C

Standards and Procedures for Promotion and Tenure

I. Preamble

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

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

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

II. Standards

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

A. Academic Units

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

B. Documentation of Standards

Proper evaluation of candidates for tenure appointments and for promotions to the rank of professor must be based on clearly defined standards of academic quality. Inasmuch as there may be significant differences in the spirit and traditions of the individual disciplines comprising IIT, standards may vary from one profession to another. Consequently, each academic unit is expected to formulate its own standards and guidelines for the evaluation of its faculty. Academic unit heads shall supply copies of

these standards with any amendments and revisions to the Provost for approval. A copy of the appropriate set of standards shall be given to each faculty member by the Office of the Provost at the time of the faculty member's initial appointment. A faculty member being considered for tenure shall be evaluated following the standards given to him or her at the time of initial appointment unless he or she agrees to be evaluated following a version revised or amended subsequent to that initial appointment.

C. Criteria for the Formulation of Departmental and College Standards

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

1. Research, scholarly, and artistic contributions, and equivalent individual accomplishments
 - a. Scholarship and equivalent individual accomplishment are demonstrated by, but are not limited to, published books, journal articles, and reports, particularly those subject to prepublication reviews; the impact of the totality of publications on the advancement of a particular discipline; research support; invited presentations at international and national conferences; lectures and seminars for universities, professional groups, and the public; participation in competitions and exhibitions; shows in museums and galleries; prizes and awards; critiques of the work in professional journals; reviews of papers and books for professional journals and publishers; and suitable participation in radio and TV programs.
 - b. All standards must provide for evaluation of a candidate's scholarship or equivalent individual accomplishment by people outside of IIT who have well-established and substantial professional reputations.
2. Teaching and educational achievements
 - a. Accomplishments in teaching are demonstrated by such evidence as performance evaluations by faculty and students; evaluations of scholarly contributions by professional colleagues; participation in the advising of students; supervision of theses and projects; development of new courses; participation in revision and development of curricula; introduction of special teaching techniques; participation in the production of educational films; TV presentations; and video, audio, and computer-based educational materials.
 - b. Each academic unit shall adopt a specific and standardized procedure to be used for the evaluation of the teaching of all probationary faculty. The procedure chosen must be systematic and documentable. It may include written student evaluations and peer visits to classes that are followed by written reports. The teaching of every probationary faculty member shall be evaluated each academic year and the faculty member shall be provided with appropriate feedback concerning strengths and weaknesses. A written report on each candidate's

teaching ability, based on this evaluation, will accompany the recommendations from the academic unit as to promotion.

- c. Contributions to pedagogy shall be documented through such accomplishments as publications, development of new courses, professional presentations on teaching, and evidence of recognition within and outside IIT.
3. Service to the department, university, and profession
 - a. Service to IIT is demonstrated by such activities as significant participation on academic unit, college, University Faculty Council, and other university committees; involvement with student organizations and other student activities; advising of student branches of professional societies, student clubs, fraternities, and sororities; assisting the administration on special assignments; development of interdisciplinary programs and centers; organization of continuing education courses; participation in student recruitment; assistance in career days, open houses, and other IIT events; and performance of public service functions.
 - b. Service to the profession is demonstrated by a significant level of activity in professional societies on the local and national level, as well as by such activities as evaluation of proposals for funding agencies, refereeing of articles for professional journals and conferences, service as a member of an editorial board, jury duty in professional competitions, service on government committees, service as an expert witness or arbitrator, participation in continuing education programs, and professional consulting.

III. Procedures for Promotion to Tenure

A. Committees and Individuals Involved in the Review Process

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

1. the Academic Unit Committee on Promotion and Tenure (AUCOPT);
2. the Campus Committee on Promotion and Tenure (CAMCOPT);
3. the University Committee on Promotion and Tenure (UCOPT); and
4. the head of the academic unit and, in the case of a college with departments, the dean of the candidate's department.

The recommendations of the faculty committees as to any candidate are the result of the consideration of the portfolio of the candidate and any additional information or

recommendations provided at the request of the committees by appropriate persons, including the candidate, professional peers from outside IIT, fellow faculty members, the Provost, the academic unit head, and students.

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

B. Faculty Committees for Promotion to Tenure

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

1. The AUCOPT shall consist of all tenured members of an academic unit (including the academic unit head). In units with fewer than three tenured faculty members, faculty members from other units shall be added to bring the number to at least three. The choice of extra-unit members will be made by the Provost in consultation with the academic unit faculty. To maintain the separation between administrative and faculty review of promotion and tenure cases, academic deans who are not academic unit heads, the Provost, and the President are not eligible for membership on an AUCOPT and shall not participate in its deliberations. The committee shall select its chair; provided that the chair of an academic unit may not act as chair of its AUCOPT. All substantive votes shall be cast by secret ballot. The term "academic dean" denotes only the dean who provides an independent evaluation of the candidate to the Provost.
2. The CAMCOPT shall be composed of tenured members of the faculty and will be broadly representative of the entire faculty. CAMCOPT shall contain at least one member from each academic unit. Committee members will be nominated by the faculty of each academic unit and appointed by the Provost. At least one nominee from each unit should be a full professor. Each unit shall nominate and the Provost shall appoint a CAMCOPT alternate who shall serve if a unit's member of the CAMCOPT is unavailable. CAMCOPT members will serve three-year terms beginning on the first day of the academic year, with approximately one-third of the members appointed each year. To maintain the separation between administrative and faculty review of promotion and tenure cases, academic unit heads, academic deans, the Provost, and the President are not eligible for membership on CAMCOPT and shall not participate in its deliberations. CAMCOPT shall meet and elect a chair prior to the end of the spring semester. A majority of CAMCOPT members shall constitute a quorum. All substantive votes are to be cast by secret ballot.
3. The UCOPT shall be composed of tenured members of the faculty and shall be appointed by the Provost from a list of nominees proposed by the University Faculty Council. It shall consist of eleven members. The members shall come, to the extent feasible, from the academic units in proportion to the number of tenured and tenure-

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

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

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

C. General Format of Procedures for Appointment to Tenure

1. A list of the candidates for tenure appointments shall be prepared by each academic unit for the Provost, who will transmit this information to the appropriate faculty committees. The list shall consist of (a) faculty members who must be considered for promotion, i.e., assistant professors in their sixth year in the rank or seventh year in certain instances (see Section V.A.3., below) and associate professors in their third year in that rank or fourth year in certain instances (see Section V.B. 2., below); (b) faculty members recommended for early consideration by the head of an academic unit or other senior faculty member; and (c) faculty members requesting consideration for themselves during a year in which consideration is not mandatory.
2. Each candidate shall compile a portfolio as described in subsection III.D., below, and shall submit one copy of the portfolio to the AUCOPT and one copy to the head of his or her academic unit.
3. In coordination with the academic unit head, the AUCOPT shall supplement both copies of the portfolio with external letters of recommendation and any additional information that it may deem relevant. It shall evaluate each candidate against its published standards as being recommended or not recommended for award of tenure. This evaluation, with the votes in each category being recorded, shall be transmitted with the portfolio to the next highest committee.
4. The CAMCOPT shall review the portfolio submitted by the AUCOPT. It may seek additional information in the form of letters or personal interviews from the candidate, the academic unit head, the Provost and other colleagues and will ask a faculty member from the candidate's discipline to meet with CAMCOPT if the

CAMCOPT representative from the candidate's academic unit is not from the candidate's discipline. The CAMCOPT will rate each candidate in accordance with the relevant standards as being recommended or not recommended for the award of tenure. It will then transmit its evaluation with the portfolio to the UCOPT.

5. The UCOPT shall review the portfolio containing the evaluations by the AUCOPT and CAMCOPT and shall make its own independent evaluation. The UCOPT may seek additional information in the form of letters from, or personal interviews with, the candidate and other individuals. The UCOPT shall rate each candidate in accordance with the relevant standards as being recommended or not recommended for award of tenure, with the total votes in each rating being recorded. The complete portfolio, along with the AUCOPT, CAMCOPT and UCOPT ratings, shall be transmitted to the Provost, and a copy shall be sent to the President.
6. The head of the academic unit shall present the second copy of the portfolio with his or her other evaluation to the Provost, or in the case of a college with departments, to the dean of the college.
7. The college dean shall review the portfolio, including the evaluations by the AUCOPT and CAMCOPT, and send his or her evaluation with the portfolio to the Provost.
8. The Provost shall review the portfolios and shall consult with the Vice Provost for Academic Affairs. The Provost then shall make a recommendation based on the evaluations: (a) made by the AUCOPT, the CAMCOPT, the UCOPT, the head of the candidate's academic unit, and the Dean (in the case of a candidate seeking promotion and/or tenure in a unit that is located in a college with departments); and (b) university needs, plans, and resources. The Provost also shall provide the President with the portfolios of all the candidates, along with all evaluations and committee votes.
9. No later than March 31 the Provost shall advise the candidate of the recommendation to be made to the President in order to allow time for further discussion of the recommendation and possible withdrawal of the application for promotion and/or the award of tenure. Upon written request from the candidate, the Provost shall advise the candidate in writing of the reason(s) for the recommendation.
10. The President shall make the final decision as to each candidate.
11. Should a candidate believe that an unfavorable decision has resulted from improper practices that occurred during the evaluation and/or review processes, he or she may appeal to the President for reconsideration or may submit a grievance complaint. In the latter case, a review shall be made according to the provisions of the document entitled Procedures for Addressing Faculty Academic Grievances (Appendix I). Such review shall be limited to issues concerning process. The substantive decision on the merits is not subject to review. However, if the faculty member's complaint alleges

abridgement of academic freedom or a violation of IIT's policy on equality of opportunity in employment, as stated elsewhere in this Faculty Handbook, the faculty member shall have a right to a formal investigation of his or her grievance in accordance with the provisions of Appendix I.

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

D. Contents of the Portfolio

1. The candidate shall supply a full curriculum vitae with relevant supporting documents, copies of principal publications, as described in Appendix D, and a personal statement of accomplishments, future plans, and aspirations.
2. The AUCOPT shall be responsible for assembling objective evaluations of the candidate by established professional peers outside of IIT, a formal evaluation of teaching in accordance with the procedures of the academic unit, other relevant material, and an up-to-date copy of the relevant standards established by that academic unit. These materials are to be placed in both copies of the portfolio, i.e., the copy considered by the AUCOPT and the copy considered by the academic unit head.

E. Calendar

1. The Provost shall submit a list of candidates to the President and to the relevant faculty committees by September 1.
2. Material needed by the AUCOPT and the head of the academic unit shall be submitted by October 1.
3. Material needed by the CAMCOPT shall be submitted by November 1.
4. The CAMCOPT shall transfer its portfolio with its evaluation to the UCOPT by December 1.
5. The UCOPT shall transmit the portfolio and its evaluation to the Provost and the President by February 15.
6. In the case of a college with departments, the head of the academic unit shall transmit the portfolio with evaluation to the dean by December 1.
7. The dean shall transmit his or her copy of the portfolio with his or her evaluation to the Provost by February 15.

IV. New Appointments with Tenure

An individual who is to be appointed to the faculty with immediate tenure shall be evaluated by the appropriate AUCOPT, CAMCOPT and UCOPT in the same manner as current faculty seeking promotion to tenure are evaluated. Even if the appointment should arise during the summer, all faculty committees must be convened to evaluate the candidate.

V. Probationary Appointments

A. Assistant Professors

1. The maximum period of employment in rank as a non-tenured assistant professor before the awarding of tenure is seven years. There are two options when appointing and reappointing assistant professors: 1) an initial probationary period of four years, with a possible renewal for three additional years; or, 2) an initial probationary period of three years, with a possible renewal for four additional years. Each academic unit shall publish its policy as to which option it follows. The policy must be uniform for all appointees at the rank of assistant professor within that unit.
2. In the case of an individual who seeks reappointment to a second probationary term as assistant professor, the academic unit shall review the candidate no later than the academic year preceding the last year of the current probationary term, unless an extension regarding such review is granted in accordance with Appendix R or the Faculty Family Policy. Notification of the decision resulting from the review shall be given to the candidate no later than the last day of the academic year in which the review is conducted. In pursuing the “renewal review” the academic unit shall apply the standards it has adopted for such review.
3. Assistant professors must be considered for tenure no later than their sixth year in that rank at IIT. An assistant professor in his or her sixth year may petition the academic unit head to defer consideration to the seventh year. However, if the request for deferral is granted and tenure is not awarded, the seventh year would be the terminal year and there would be no extension of the terminal contract. If an extension has been granted in accordance with Appendix R or the Faculty Family Policy, tenure consideration will be deferred for the period of the extension so granted.

B. Associate Professors

New associate professors hired without tenure shall be appointed for a four-year term and must be considered for tenure no later than their third year in that rank at IIT. An associate professor in his or her third year may petition the academic unit head to defer consideration to the fourth year. However, if the request for deferral is granted and tenure is not awarded, the fourth year would be the terminal year and there would be no extension of the terminal contract. . If an extension has been granted in accordance with Appendix R or the Faculty Family Policy, tenure consideration will be deferred for the period of the extension so granted.

- C. Procedures for Promotion to the Rank of Professor and New Appointments to that Rank
The procedures outlined above under “Procedures for Promotion to Tenure” apply also to promotions and appointments to the rank of professor except that only professors may be involved in the faculty committee deliberations (i.e., the AUCOPT, CAMCOPT and UCOPT deliberations). If a committee should contain fewer than three full professors, other full professors will be added from inside the university to bring the number to three by the Provost in consultation with the academic unit faculty in the case of the AUCOPT and with the University Faculty Council in the case of the UCOPT.
- D. Early Consideration
If he or she so requests, a faculty member on a probationary appointment may be considered for tenure at any time prior to the year designated for mandatory consideration.
- E. Leaves of Absence
Agreement among the appropriate parties as to whether time spent on a leave of absence is to be considered as part of the probationary term must be reached before approval of a leave of absence will be granted. Typically, time spent on a leave of absence by an untenured assistant or associate professor is not counted as part of the probationary term. (See Faculty Handbook, Section VIII.B.)
- F. Extending the Probationary Period
(See Appendix R of this Faculty Handbook and the Faculty Family Policy for policies relating to extension of the probationary period.)

VII. Archives

Archives containing documents describing the standards and procedures in use by the various review committees described above shall be kept in the Office of the Provost and shall be made accessible for inspection by members of the faculty.