I. Introduction

A. The University

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

B. History

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

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

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

In 1969 IIT became one of the few technology-based universities with a law school when Chicago-Kent College of Law, founded in 1888, became part of the university. Stuart School of Business was added in 1969, funded by a gift from the estate of Lewis Institute alumnus and Chicago financier Harold Leonard Stuart. The Midwest College of Engineering, founded in 1967, joined the university in 1986 to form the nucleus of what is now the Rice Campus in Wheaton. A gift of buildings by CPC International in south suburban Bedford Park in 1988 made possible the IIT Moffett Campus. The Downtown Campus, a 10-story building at 565 W. Adams St. in Chicago's West Loop, opened in January 1992, and is home to the law school, some programs of the business school, as well as the master's degree program in public administration.

In early 1998 the Institute of Design moved from the Main Campus to the building then known as the Steelcase Building in Chicago's River North section, a step designed to help ID expand its continuing and executive education programs and to bolster graduate enrollment. In 2002 a majority of the assets of IITRI were sold to Alion Science and Technology Corporation, a for-profit company whose sole shareholder is an Employee Stock Ownership Plan formed and owned by former employees of IITRI. IITRI, consisting primarily of its Life Sciences Operation, continues as an independent not-for-profit corporation controlled by the university.

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

C. A Record of Accomplishment

Even more impressive than the physical growth of the university over its first century is the remarkable record of accomplishment by its students, faculty, and alumni. Lee DeForest, "Father of the Radio," conducted his first long-distance broadcasts from the roof of Main Building while on the Armour faculty. Jazz great Benny Goodman and journalist Dorothy Thompson distinguished themselves after studying at Lewis. S. I. Hayakawa, world-renowned expert in semantics, taught at IIT and wrote the best-selling book, *Language in Action*, while on the faculty. Nobel Laureate Herbert Simon wrote his groundbreaking book, *Administrative Behavior*, while professor and department chair of political science at IIT from1942–1947. The only known recording from the 1940s of survivors displaced by Germany in World War II was obtained in 1946 via wireless recording by psychology professor David P. Boder. Chicago-Kent graduate Richard Ogilvie capped a distinguished career with election to the office of governor of Illinois. IIT architects and engineers have literally shaped the Chicago skyline, helping to design and construct such landmark buildings as the Sears Tower, the John Hancock Building, McCormick Place, Lake Point Tower, Marina City, River City, and Water Tower Place.

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

II. Mission

"To provide distinctive and relevant education in an environment of scientific, technological, and professional knowledge creation and innovation."

The schools envisioned more than 100 years ago when the predecessors of IIT were created today have become a university offering a bold intellectual agenda for a changing world. Educating the women and men who will become tomorrow's leaders is fundamental to IIT's mission.

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

III. Academic Governance

A. The Board of Trustees

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

B. Academic Administration

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

C. Academic Units

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

D. The Faculty

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

Active emeriti faculty members, tenured and tenure-track faculty members, and teaching faculty members at the full and associate rank hold voting rights as members of the faculty and are classified as "regular voting members". Active emeriti faculty members are those emeriti faculty members who continue to participate in university affairs. On or before September 30 of each year, each academic unit will provide to the Office of the Provost a list of those emeriti faculty members who meet this definition and should be considered as active emeriti faculty members for that academic year. In order

to provide suitable representation at faculty meetings to colleges, schools, departments, centers and institutes, the voting faculty may extend membership and voting rights to other persons as provided in the constitution and by-laws of the IIT faculty. (Appendices A and B.)

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

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

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

IV. Conditions of Academic Appointment

A. Locus of Authority

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

B. Faculty Appointments and Ranks

All full-time faculty positions fit into one of the following three categories: Tenure and Tenure Track, Teaching Faculty, Research Faculty. Some of the ranks require further definition by the academic units using them. However, the following standards apply uniformly to all faculty in each category and at each rank. Procedures for review and renewal are set out in Appendix C for persons holding Tenure and Tenure Track ranks and in Appendix Q for persons holding Teaching faculty and Research Faculty ranks. Other ranks may be added to Categories of Teaching Faculty and Research Faculty upon approval of the President, the UFC, and the IIT Faculty.

1. Tenure and Tenure Track

These are the traditional tenure and tenure track ranks, and individuals holding these ranks form the "core" of the faculty. Their roles in teaching, research, and service are well understood.

a. Professor

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

b. Associate Professor

Promotion to the rank of associate professor from the rank of assistant professor carries continuous tenure under the same provisions and limitations as apply to professor. In cases where the first appointment at IIT is in this rank and is without tenure, such appointment shall be for a four-year term and shall be subject to notification of termination or award of tenure at the end of three years. An associate professor in their third year may petition the academic unit head to defer consideration to the fourth year. However, if the request for deferral is granted and tenure subsequently is not awarded, the fourth year constitutes the terminal year and there can be no extension of the terminal contract. In cases where the first appointment at IIT is in this rank with tenure, the award of tenure shall be subject to consideration at the time of hire under the university's

procedures for promotion and granting of tenure. Typically, time spent on leave of absence by an untenured faculty member is not counted as part of a probationary appointment at IIT. However, agreement on whether or not a leave of absence is to be considered part of a probationary term must be reached before approval of the leave of absence is granted, except as otherwise provided in the Faculty Family Policy, included in the Supplement to the Handbook. Under that Policy, leaves of absence for birth or adoption of a child do not require prior approval and time spent on such leaves are not counted as part of the probationary appointment.

c. **Assistant Professor**

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

2. Teaching Faculty

a. Ranks

The goal of creating ranks for teaching faculty is to attract and retain a diverse set of committed, long-term faculty colleagues that demonstrate excellence in teaching, service, and administration.

There are four ranks of Teaching Faculty; Regular Teaching Faculty comprise the first three ranks whose affiliation is exclusively with IIT; a fourth rank is comprised of faculty members who are affiliated with IIT in an instructional capacity, as well as being affiliated with or employed by another professional organization or employer.

The first three ranks are: Assistant Teaching Professor, Associate Teaching Professor, and Teaching Professor. These are full-time positions. Persons holding these positions are expected to devote all or substantially all of their working time to the teaching of

students, university service, and administration and they may have no outside office or business activities that unduly interfere with their work as educators.

(i) **Assistant Teaching Professor:** appointment to this rank requires excellence in teaching. Contracts are flexible and short term but can be longer when appropriate.

(ii) **Associate Teaching Professor:** appointment to this rank requires excellence in teaching, as well as service to the department and the university. Contracts are usually longer term, up to 5 years - with service and review benchmarks.

(iii) **Teaching Professor:** appointment to this rank requires excellence in teaching, service to the department, college, and university (including administration), and engagement at the national or global level as a disciplinary expert, or in the areas of student learning or student success at the national or global level. Teaching Professors are eligible to serve on the University Faculty Council. Individuals that achieve the rank of Teaching Professor may be granted Emeritus status as described in section 5.e after serving at this rank for at least two five-year contractual periods, or who may have previously served the equivalent prior to establishment of this policy. Individuals at this rank will preferably have a terminal degree in their field, but exceptions can be granted by the Provost based upon evidence of exceptional performance in comparison to the standards expected of this rank, as described in Appendix Q.

The fourth lane rank is Professor of Practice. The goal of creating a lane rank for Professors of Practice is to attract and retain a diverse set of talented teachers and practitioners that can fill short and midterm needs for colleges and departments, and also to attract high profile scholars and practitioners for fixed term engagements with the university.

(iv) **Professor of Practice:** Appointment to the ranks of Professor of Practice may be made to recognized outstanding practitioners who may continue to practice in their fields following appointment to the rank. Persons with this rank are expected to devote all or substantially all of their working time at IIT to the teaching of students and are generally expected to not engage in university service or administration. They may have, and indeed are expected to have, outside professional business activities. Course load and compensation will be determined by the academic unit head in consultation with the relevant Dean, and specified in a contract between the faculty member and the university which will set out expectations as to what portion of their activities will be devoted to IIT. Renewal of the contract is subject to only the needs of the academic unit and the mutual agreement of the individual and the university.

b. Supplemental Titles

Certain supplemental titles have been in customary use at IIT and in certain disciplines are useful designators of professional practice. These may be added to any of the above

designations, if so desired, at the time of appointment, and may be combined other supplemental titles or with rank designations

(i) **Clinical**

Clinical faculty members are those who bring professional expertise to the classroom, but who usually do not participate in academic research and/or scholarship. An academic unit may determine the length of a Clinical faculty member's contract, within the one- to five-year terms, depending upon title.

(ii) **Studio**

Appointment to the ranks of studio professor, studio associate professor, and studio assistant professor are made to recognized outstanding practitioners who may continue to practice in their fields.

(iii) **Legal Writing**

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

(iv) **Industry**

Appointment with the title of industry professor or industry associate professor or assistant industry is made to an individual with substantial experience in business or industry who will bring their professional expertise to teaching and other professional activities, not including research.

c. Contract Length and Nonrenewal Notice

Faculty members within Teaching Faculty ranks will have contracts from one year to five years in duration, with no limit on the number of renewals, except as otherwise provided above for assistant professors of legal writing.

For appointments within the Assistant Teaching Professor rank, the initial appointment is ordinarily for a two-year period, and may be renewed for additional two-year periods. For appointments within the Associate Teaching Professor rank, appointments are ordinarily for three-year periods. For appointments within the Teaching Professor rank, appointments are ordinarily for five-year periods. However, for all levels, a renewal of a contract may be for a shorter or longer term than the term of the predecessor contract. Salary is reviewed at the start of each renewal contract.

In the case of a full-time Teaching Faculty member who is in their third through fifth year of service with the university, and who is not going to receive a renewal of their contract, notice of such non-renewal shall be given to them by the academic unit head at least six months prior to the expiration of their current contract. In the case of a full-time Teaching Faculty member who is in their sixth through tenth year of service with the university, and who is not going to receive a renewal of their contract, notice of such non-renewal shall be given to them by the academic unit head at least one academic year prior to the expiration of their current contract. In the case of a full-time Teaching Faculty member with eleven or more years of service with the university and who is not going to receive a renewal of their contract, notice of such non-renewal shall be given to that Teaching Faculty member by the academic unit head at least two academic years prior to the expiration of their final contract. If timely non-renewal notice, as defined above, is not given to a full-time Teaching Faculty member, they shall receive a terminal contract of duration at least equal to the period of time that the notice was untimely. For example, if notice is given eight months late, the faculty member shall be entitled to a contract of at least eight months' duration.

3. Research and Visiting Faculty

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

a. Visiting Faculty

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

b. Distinguished Research Professor

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

adviser, for graduate students. Workload and compensation are determined by the academic unit head and specified in a contract between the university and the individual.

c. Research Professor and Research Associate Professor

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

d. Research Assistant Professor

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

4. Presidential Appointed Faculty

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

University Professor

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

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

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

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

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

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

5. Other Academic Appointments

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

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

b. Senior Research Associate

Appointment as a senior research associate is made by the Dean of the College or School to an individual who holds an earned doctorate and who possesses special qualifications for making significant professional contributions to the research projects in which he or she is engaged.

This is a full-time academic appointment. Although not a faculty member, a senior research associate is ordinarily considered equivalent in rank and privileges to an assistant professor. An individual holding this appointment is eligible to participate in teaching activities on a part-time basis. An appointment is made for a specified period, is renewable annually, and carries no implication of continuing connection with the university or of eligibility for tenure. In general, the maximum period for such an appointment is five years, although in appropriate cases this may be extended. Workload and compensation are determined by the academic unit head and are specified in a contract between the university and the individual.

c. Research Associate

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

d. Emeritus Faculty

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

6. Administrative Officers with Faculty Rank

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

7. Notification of Appointment

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

8. Equal Opportunity/Affirmative Action

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

9. Faculty Promotions and Tenure

It is the policy of IIT to ensure excellence in the quality of its faculty and to recognize the interests of its faculty members through the principles concerning conditions of appointments and the awarding of tenure (See Appendix C.) For Teaching Faculty see Appendix Q.

10. Faculty Interaction with IITRI

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

V. Professional Concerns

A. Academic Freedom

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

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

> *Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition.*
>
> *a) Teachers are entitled to full freedom in research and in the publications of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.*
>
> *b) Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of other aims of the institution shall be clearly stated in writing at the time of appointment.*
>
> *c) College or university teachers are citizens, members of a learned profession and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers they should remember that the public may judge their profession and their institution by their utterances. Hence, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others and should make every effort to indicate that they are not speaking for the institution.*

B. Policy Regarding Equal Opportunity in Education and Employment

It is, and shall continue to be, the policy of the university to provide equal employment opportunities to all employees and job applicants. This policy insures that applicants are employed and that employees are treated during employment without regard to their race, religion, gender, age, marital status, national origin, arrest record history, veteran status, sexual orientation, transgendered status, or disability. This

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

policy shall apply, but not be limited to, the following employment practices: locating sources of qualified applicants; recruitment or recruitment advertising; hiring; upgrading; demotion; transfer; layoff; termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, reasonable accommodations will be provided to qualified individuals with disabilities.

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

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

C. Policy Regarding Equal Access to University Library Resources

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

VI. Faculty Responsibilities

A. The Academic Year

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

Both the period between semesters and the spring recess provide time for faculty members to concentrate on research, to develop new courses and programs, and to engage in other activities appropriate to enhancing general faculty performance.

A faculty member is expected to discuss contemplated absences during the academic year or summer period with his or her academic unit head as far in advance as possible to avoid disruption of normal academic unit activities.

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

B. Summer Session

During the summer session faculty members are free to make other professional engagements either at IIT or elsewhere. Teaching and/or research assignments at IIT during this period are neither mandatory nor guaranteed. Summer teaching assignments depend on courses scheduled and adequate enrollment and are usually available on a rotating basis to faculty qualified to teach the courses offered. Full-time faculty summer teaching compensation will be paid according to a schedule, negotiated at a minimum of once every three years, by the University Faculty Council and the Office of the Provost. The committee will include representation from faculty members who have taught paid summer courses in the last three years. Part-time faculty compensation will be negotiated. Law school faculty should consult with their dean regarding summer session pay.

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

C. Consulting and Other Outside Professional Activities of Faculty Members

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

Within IIT the various professional and academic disciplines differ widely in their traditions and in their need for, and the availability of, consultation or other activities with outside organizations and individuals. It is impossible to establish a single set of specific rules on the proportion of a faculty member's time appropriate to such outside work. A faculty member's professional outside activities are considered productive as long as they do not interfere with his or her performance in the on-campus activities that are his or her principal responsibility. Because the capacity for work, stamina, and

effectiveness of different individuals vary significantly, it is recognized that in specific cases the amount of time appropriate to outside activities, within the above criteria, also may vary. Generally, however, it is expected that outside activities should not, on the average over the academic year, exceed the equivalent of one day per week. Faculty members are required to report such activity to the appropriate academic unit head when such activity is in excess of that average.

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

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

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

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

VII. Responsibilities in Student-Faculty Relationships

A. Change of Time and Place for Meeting Class

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

B. Class Attendance by Students

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

C. Office Hours for Student Advising

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

D. Student Access to Educational Records

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

E. Final Examinations

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

examination time, and (2) administering the examination at the time originally scheduled would impose extreme hardship upon the faculty member.

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

F. Reporting of Final Course Grades

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

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

G. Personal Faculty-Student Relationships

Personal relationships between faculty members and students raise particularly sensitive issues, and such relationships are addressed in Appendix M.

H. Teaching Children or Other Close Family Members

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

VIII. Sabbatical Leaves and Leaves of Absence

A. Sabbatical Leaves

1. Objective of Sabbatical Leaves

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

2. Eligibility

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

3. Procedure for Making Application

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

4. Considerations Regarding Awards of Sabbatical Leave

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

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

5. Conditions of Sabbatical Leave

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

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

B. Leave of Absence

1. General Considerations, Requirements, and Limitations

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

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

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

2. Leave of Absence for Military Service and Jury Service

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

C. Disability Leave

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

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

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

D. Family and Medical Leave

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

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

IX. Terminations

A. Resignation of Appointment by the Faculty Member

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

B. Dismissal or Suspension

See *Suspension and Termination of Faculty Members* at Appendix J.

X. Compensation, Personnel Records and Benefits Offered

A. Determination of Salary

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

B. Appeals for Adjustment in Salary

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

2. If, following the steps pursued in subsection 1, the faculty member continues to find unacceptable the salary offered to him or her, he or she may pursue an appeal by apprising the Provost within 20 days of receiving a final determination from the Provost. The Provost then shall within 10 days notify the faculty member's dean of such appeal. The Provost shall convene a meeting within a reasonable time of the deans of IIT's colleges and schools, except for the dean of the academic unit from which the faculty member received his or her salary. At the meeting, this Salary Appeal Panel shall designate a subcommittee of at least three panel members, and the Panel shall further designate the chair of the subcommittee.

3. The subcommittee shall evaluate all documents submitted by the faculty member, as well as by the faculty member's academic unit head, dean (in the case of a faculty member who is located within a department of a college), and the Provost. The faculty member may appear before the subcommittee in person to present evidence in support of his or her appeal, or he or she may submit a statement in writing in lieu of a personal appearance. The subcommittee shall evaluate the appeal in light of the contributions to the work of the university expected of, and made by, other faculty members of the applicant's academic unit. Within 100 days after receiving the appeal, the subcommittee shall report and recommend to the President either that:

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

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

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

C. Compensation

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

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

D. Maintenance of Personnel Records for Faculty Members

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

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

E. Faculty Travel

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

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

F. Membership in Professional Societies

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

G. University Holidays

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

H. Vacations

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

I. Retirement Benefits

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

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

1. Eligibility

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

2. Time Frames for Eligibility

a. Administrative officers and faculty become eligible for participation on the first day of the month following completion of one year of employment.

b. Prior employment immediately preceding hire date, with a qualifying not-for-profit educational or research organization, including IIT or IITRI, may be substituted for the waiting period, making the employee eligible for immediate participation.

3. Plan Contributions

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

4. Plan Investments

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

5. Participation While on Leave of Absence or Upon Separation

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

J. Group Hospitalization and Medical-Surgical Insurance

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

K. Group Life Insurance

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

L. Long-Term Disability Benefit Plan

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

M. Dental Plan

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

N. Flexible Spending Accounts

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

O. Social Security and Medicare Benefits

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

P. Educational Benefits

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

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

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

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

Appendix A

Constitution of the Faculty of Illinois Institute of Technology

Article I - Name

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

Article II - Purpose

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

A. the formulation of academic policy;

B. the maintenance of academic standards; and

C. general participation in the affairs of the university.

Article III - Membership

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

B. The President, the Provost, all Tenure and Tenure-track and those Teaching faculty with Teaching Professor or Associate Teaching Professor rank as defined in the body of the Faculty Handbook shall be deemed "regular voting members" of the Faculty.

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

Article IV - Officers of the Faculty

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

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

Article V - Powers and Duties of the Faculty

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

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

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

D. shall examine and make recommendations concerning the general quality of student life:

1. to enhance the educational programs for students,

2. to enrich students' college experience in general, and

3. to improve students' capacity for responsible self-government;

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

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

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

Article VI - The University Faculty Council

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

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

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

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

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

F. Either the President or the Provost or both shall meet with the University Faculty Council at least once per academic year and at other times at the reasonable request of any one of the parties.

G. The most recent previous UFC chair will serve in the capacity of "past-chair" as a non-voting officer (unless they are also a regular voting member of the UFC) serving in an advisory role.

Article VII - The Faculty Senate

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

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

Article VIII - Meetings of the University Faculty

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

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

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

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

Article IX - Academic Units

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

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

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

Article X – Amendments

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

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

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

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

Article XI - Authority Vested in the Board of Trustees

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

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

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

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

Article XII - Shared University Governance

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

A. formation of the university budget;

B. allocation of the university's resources and facilities;

C. long-range planning of the university;

D. standards of appointment, reappointment, promotion, tenure, and termination of members of the Faculty;

E. composition of Faculty benefits and other matters of similar concern to the Faculty;

F. appointment of all major academic officers, starting at the level of department chairs, deans, and directors;

G. establishment or discontinuance of existing academic units with constituent faculties, the renaming of academic units, the merging of academic units, and the transfer of academic units between constituent faculties;

H. new degrees and the discontinuance of existing degrees;

I. admission standards and academic requirements for students;

J. standards for curricula and content of all degree programs;

K. standards and facilities for research and scholarship;

L. evaluation of current programs, policies, and organizational structures with regard to their effectiveness;

M. the development and introduction of new programs, policies, and organizational structures;

N. awarding of degrees;

O. awarding of honorary degrees;

P. methods and procedures for evaluating faculty and academic unit performance;

Q. methods and procedures for evaluating the performance of the administration and of administrative units;

R. declarations of financial exigency; and

S. amendments to the Faculty Constitution and/or by-laws.

Appendix B

By-Laws of the Faculty of Illinois Institute of Technology

Article I. - Faculty Voting Rights

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

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

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

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

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

F. Regular voting faculty shall have the right to vote in faculty committees and in matters of joint governance that arise within an academic unit, as well as on university matters at university faculty meetings. The voting faculty of academic units may also extend academic unit voting rights for fixed terms, on non-tenure related matters, to other ranks of faculty as they see fit. The full faculty may extend voting rights for fixed terms for university matters at faculty meetings, to other ranks of faculty as they see fit.

Article II - Officers of the Faculty

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

Article III - Procedures for Meetings of the Faculty

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

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

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

1. the President;

2. a majority of the University Faculty Council;

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

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

E. The Secretary of the University Faculty Council shall:

1. prepare, with the assistance of the Provost, a current list of the members of the Faculty and their voting status at the beginning of each semester;

2. assemble and transmit to the Faculty the agenda and supporting documents at least seven days in advance of all Faculty meetings; and

3. keep the minutes of each faculty meeting and transmit them to the Faculty within 14 days after the meeting, not counting the day of the meeting itself.

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

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

Article IV - The University Faculty Council

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

B. Each academic unit in which no fewer than three regular voting members of the Faculty hold their primary appointments shall be entitled to at least one seat on the UFC.[1] The remaining seats shall be distributed proportionally among the university's colleges, schools, and institutes according to the following rule: the number of additional representatives from each entity is established by the nearest integer to 25 minus X (X being the number of seats allocated initially) times the ratio of regular voting members in that entity to that of the university as a whole. If the total number of seats determined by this method differs from 25

[1] A primary appointment shall be determined on the basis of the faculty member's tenure. See Appendix H.

due to the rounding of fractions, the number of seats allocated to the entity or entities with faculty proportion(s) nearest but not over the break point(s) shall be adjusted to bring the total number to 25. In the case of ties, units shall be prioritized for additional members by those AUs with the highest number of full professors, then associate professors, then assistant professors, then active emeriti; then, in the case of a remaining tie, by decision of the current UFC chair. The initial allocation of seats shall be made by the UFC sitting prior to the adoption of this provision. Thereafter, the allocation of seats shall be reviewed no less often than every five years by the UFC.

C. The terms of UFC members shall be for three years.[2] If a seat becomes vacant before the end of its normal term, the college or school that elected the member shall hold a special election as soon as possible to elect a replacement member to serve out the remainder of the term.

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

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

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

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

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

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

[2] At the first meeting of the UFC following the first election under these by-laws, a lottery system shall be used to establish one-third of the membership as having three-year terms, one-third as having two-year terms, and the remainder as having one-year terms.

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

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

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

L. No later than April 1 of the year in which the term of the Chair of the Faculty Senate expires, the UFC shall nominate a new Chair of the Faculty Senate. The UFC will inform the Faculty Senate of the nomination no later than April 7 of that year. If no more than fifteen members of the Faculty Senate object to the nomination, the nominee is accepted by the Faculty Senate as its Chair for a term of two years. If fifteen members of the Faculty Senate express objections to the nominee, then the UFC shall conduct an election by members of the Faculty Senate to elect a new Chair.

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

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

Article V - Committees

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

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

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

D. There shall be an Undergraduate Studies Committee (UGSC) that shall review and recommend to the UFC and the university faculty new programs and the financial support needed to implement them. The UGSC shall formulate policy and recommend to the UFC and the university faculty general education and graduation requirements as well as admission standards. The UGSC shall review, approve, and inform the UFC of course and program modifications, including ancillary university-wide academic policies related to undergraduate programs, such as testing, placement, proficiency, and grading. The UGSC shall review, as needed, existing degree programs, particularly those not subjected to external accreditation review, and report its findings to the UFC.

1. Each spring, the UFC will appoint a chair of the UGSC for the coming academic year. The person appointed need not be a member of the UFC but must be a member of the IIT faculty with voting rights.

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

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

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

5. At their discretion, the UFC or the UGSC may determine ongoing and/or ad hoc ex-officio members on the UGSC, including university administration or undergraduate student representation. These shall be non-voting members.

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

1. Each spring, the UFC will appoint a chair of the GSC for the coming academic year. The person appointed need not be a member of the UFC but must be a member of the IIT faculty with voting rights.

2. Each Academic Unit (AU) program that offers a graduate degree program shall annually elect a voting member to the GSC. Elected members may succeed themselves without limit.

3. Any AU that offers a graduate course but does not offer a graduate degree program may elect a non-voting member to the GSC. Elected members may succeed themselves without limit.
4. At their discretion, the UFC or the GSC may determine ongoing and/or ad hoc ex-officio membership on the GSC, including university administration or graduate student representation. These shall be non-voting members.

F. There shall be a Sabbatical Leaves Committee consisting of no fewer than three regular voting members of the Faculty. This committee shall review requests for such leaves, and it shall make recommendations to the Provost regarding such requests. It also shall review, if it so chooses, the university's sabbatical leave policies and practices and make recommendations to the UFC regarding such.

G. There shall be a University Library Committee comprised of the Dean of Libraries (*ex officio*), 8 to 10 faculty members broadly representative of the breadth of academic disciplines, and a student representative from both the graduate and undergraduate colleges. Faculty appointments to the University Library Committee shall be nominated by the Dean of Libraries and approved by the UFC. The term of faculty appointments shall be two years. Student representatives from the Government of the Student Body shall be appointed by the President of Student Government. The term of student appointments shall be one year. The committee shall annually elect a chairperson from their faculty representatives. The University Library Committee shall be responsible for advising University Administration on Library affairs, it shall serve as the chief external advisory group to the Dean of Libraries, it shall act as liaison between the University Libraries and faculty and, when appropriate, it shall provide a faculty perspective on strategic, budgetary and policy matters of concern to the Libraries.

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

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

J. There shall be an Academic Grievance Committee, consisting of no fewer than three faculty members of which at least two shall be members of the UFC, that shall adjudicate alleged

student academic violations and substantive student grievances against instructors, but only to the extent that such grievances give rise to claims recognized in this or other university publications (such as the *IIT Student Handbook* and the *Chicago-Kent Code of Student Conduct*) as appropriate for adjudication by this committee.

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

L. The UFC Chair may appoint ad hoc committees from time to time.

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

Article VI – Faculty Senate

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

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

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

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

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

F. Procedures at Senate meetings shall be governed by the latest edition of *Robert's Rules of Order*.

Appendix C

Standards and Procedures for Promotion and Tenure

I. Preamble

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

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

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

II. Standards

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

A. Academic Units

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

B. Documentation of Standards

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

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

C. Criteria for the Formulation of Departmental and College Standards
Three general categories of academic merit are to be considered, but are not necessarily to be accorded equal weight:

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

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

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

2. Teaching and educational achievements

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

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

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

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

3. Service to the department, university, and profession

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

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

III. Procedures for Promotion to Tenure

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

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

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

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

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

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

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

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

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

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

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

3. The UCOPT shall be composed of tenured members of the faculty and shall be appointed by the Provost from a list of nominees proposed by the University Faculty Council. It shall consist of eleven members. The members shall come, to the extent feasible, from the academic units in proportion to the number of tenured and tenure-

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

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

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

C. General Format of Procedures for Appointment to Tenure

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

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

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

4. The CAMCOPT shall review the portfolio submitted by the AUCOPT. It may seek additional information in the form of letters or personal interviews from the candidate, the academic unit head, the Provost and other colleagues and will ask a faculty member from the candidate's discipline to meet with CAMCOPT if the

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

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

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

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

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

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

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

11. Should a candidate believe that an unfavorable decision has resulted from improper practices that occurred during the evaluation and/or review processes, he or she may appeal to the President for reconsideration or may submit a grievance complaint. In the latter case, a review shall be made according to the provisions of the document entitled Procedures for Addressing Faculty Academic Grievances (Appendix I). Such review shall be limited to issues concerning process. The substantive decision on the merits is not subject to review. However, if the faculty member's complaint alleges

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

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

D. Contents of the Portfolio

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

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

E. Calendar

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

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

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

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

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

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

7. The dean shall transmit his or her copy of the portfolio with his or her evaluation to the Provost by February 15.

IV. New Appointments with Tenure

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

V. Probationary Appointments

A. Assistant Professors

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

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

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

B. Associate Professors

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

C. Procedures for Promotion to the Rank of Professor and New Appointments to that Rank
The procedures outlined above under "Procedures for Promotion to Tenure" apply also to promotions and appointments to the rank of professor except that only professors may be involved in the faculty committee deliberations (i.e., the AUCOPT, CAMCOPT and UCOPT deliberations). If a committee should contain fewer than three full professors, other full professors will be added from inside the university to bring the number to three by the Provost in consultation with the academic unit faculty in the case of the AUCOPT and with the University Faculty Council in the case of the UCOPT.

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

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

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

VII. Archives

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

Appendix D

Suggested Outline for the Preparation of Curriculum Vitae

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

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

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

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

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

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

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

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

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

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

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

K. Civic and community activities. Specify leadership posts, if any.

Appendix E
Procedures for the Search for, and the Review of Academic Deans

I. Preamble

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

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

II. Procedure for Dean Review

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

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

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

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

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

E. The Provost shall respond promptly to the review committee concerning the recommendation made. If the Provost disagrees with the recommendation of the review committee, the reason(s) for disagreement shall be communicated to the committee. The University Faculty Council also shall be informed in such an event. The final decision by the Provost then shall be communicated to the dean.

F. In the event of non-renewal, the search procedures set forth in Section III shall be initiated. If the selection of a successor has not been made by the end of the incumbent's term, the Provost may grant a temporary extension of the term (at most for one year) or appoint an acting dean until the position is filled. The review committee may be reappointed by the Provost to serve as the new search committee.

III. Procedure for Search

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

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

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

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

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

F. Each candidate interviewed by the committee shall also meet, whenever possible, with the President, the Provost, the chairs of the departments, and other members of the prospective future constituency of the

candidate and, whenever appropriate, other vice presidents, academic deans, vice provosts, as well as other individuals of the candidate's choice.

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

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

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

IV. Procedure for the Replacement of Academic Deans

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

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

V. Constituencies

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

VI. The Review and the Search Committees

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

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

a. There shall be no fewer than five faculty members, four of whom shall be from the constituency of the dean. Three or more appointments shall be made from a list of no fewer than six nominees prepared by the University Faculty Council in consultation with member groups of the

dean's constituency. Committee members shall be chosen, insofar as possible, to represent evenly the member groups of the dean's constituency and to approximate the ratio of two tenured to one non-tenured faculty member;

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

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

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

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

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

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

VII. Equal Opportunity

In all instances, university procedures for assuring equal opportunity in employment shall be observed.

Appendix F
Procedures for Selection, Retention, and Replacement of Department Chairs

I. General Overview and Definitions

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

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

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

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

II. Procedures for Selection of a Chair

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

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

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

3. a member external to the college or school, either from IIT or from the profession, external to IIT; and

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

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

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

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

III. Procedures for Periodic Review of Chair

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

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

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

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

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

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

term temporarily or to request the appointment of an acting chair (acceptable to the departmental committee by majority vote) for the duration of the selection process.

IV. Procedures for Replacement of a Chair

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

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

V. Procedure for the Replacement of a Resigning Chair

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

VI. Procedures When a Search Is Unsuccessful

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

Appendix G
Procedures for the Search for Provost

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

I. Search Committee

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

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

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

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

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

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

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

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

II. Search Committee Procedures

A. The search committee shall seek nominations and applications for the position of Provost from throughout the world. The committee shall use all reasonable means to obtain nominations from the international academic community.

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

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

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

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

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

Appendix H
IIT Policy on Joint Faculty Appointments

I. Justifications for Joint Appointment

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

- a faculty member has an established scholarly field recognized as inherently interdisciplinary; and/or

- a faculty member has training and experience in two or more disciplines.

II. Conditions of Joint Appointment

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

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

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

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

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

E. The assignment of teaching and service responsibilities, salary recommendations, and other administrative functions relevant to the faculty member will be made by the chair of the primary unit, following the usual procedures for other faculty members in that unit. The actual division of such responsibilities must be approved by the college or school dean at the start of each academic year.

F. The faculty member holding a joint appointment shall retain the full rights, including voting, of faculty members in the primary academic unit and those of tenured faculty members of his or her rank, including service on the Academic Unit Committee on Promotion and Tenure (AUCOPT).

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

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

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

J. Appointment in the secondary department may be terminated after consultation with the tenured faculty members of that department.

Appendix I
Procedures for Addressing Faculty Academic Grievances

I. General Philosophy Regarding Grievances

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

II. Scope of this Appendix

A. Academic Grievances Defined

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

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

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

C. Right to Pursue a Grievance

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

[1] By necessity, no definition can be precise enough so as to delineate all circumstances that will be covered and all that will not; thus, the foregoing examples are just that - examples, and are not intended to constitute an exclusive listing of academic matters falling within the scope of this Appendix.

D. Substitution by Another Officer Where Provost is Implicated in a Grievance

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

III. Initial Pursuit and Resolution of Grievances

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

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

B. Grievances Within Purview of Academic Unit Head

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

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

2. Informal Resolution of Grievance

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

3. Pursuing Formal Resolution When Informal Resolution Effort Fails

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

4. Decision by Academic Unit Head

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

C. Grievances Within Purview of the Provost ("Direct Grievances")

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

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

1. Summary Disposition by the Provost

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

2. Referral for Investigation

If the Provost is unable to summarily dispose of the grievance, he or she shall refer the grievance for either informal or formal investigation, pursuant to subsections V or VI, subject to the following

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

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

A. Appeal of Academic Unit Head Ruling

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

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

1. Summary Disposition

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

2. Referral for Informal or Formal Investigation

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

C. Appeal of Summary Disposition by the Provost in a Direct Grievance

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

V. Informal Investigation of Grievance

A. Investigation by Committee on Academic Freedom and Tenure

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

B. Committee Report and Recommendation(s)

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

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

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

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

1. Decision to Proceed No Further

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

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

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

with subsection V.C.3. below, or express in writing his or her conclusion that such referral will not be made. Upon doing so, he or she shall so inform the parties and the CAFT.

3. Referral or Non-referral for Formal Investigation

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

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

4. Mandatory Referral for Formal Investigation

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

VI. Formal Investigation of Grievances

A. Identification of Grievance Hearing Committee Faculty Members

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

following paragraph (i.e., Section VI.C.). The Chair, or his or her designee, shall continue the selection process until 12 potential GHC members have been identified.

B. Selection of Grievance Hearing Committee Faculty Members

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

C. Selection of Administration Members of the Hearing Committee

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

D. Chair of the Committee

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

E. The Hearing

1. Representation

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

2. Pre-Hearing Matters

   a. Establishing Procedural Ground Rules

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

   b. Scheduling the Hearing

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

   c. Submission of Pre-Hearing Statements

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

3. Conduct of the Hearing

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

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

4. Action by the Provost

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

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

F. Appeal of the Provost's Decision

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

VII. Remedies

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

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

VIII. General Rules

A. Expenses

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

B. Time Limitations

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

C. Confidentiality and Privacy

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

D. Recording of Hearing

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

E. Stay of Other Grievances

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

F. Indemnification

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

Appendix J
Suspension and Termination of Faculty Members

I. Introduction

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

II. Action Within an Academic Unit

A. Introduction

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

B. Appointment of an Alternate for Academic Unit Head

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

C. Confidentiality of Complaint and Complainant's Identity

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

III. Pre-hearing Procedures

A. Appointment and Recommendations of Ad Hoc Committee

If, following consultation by the academic unit head or an alternate designee with the Provost, in accordance with section II.A., the Provost determines that further action should be taken, an ad hoc committee may be appointed by the Provost from among the members of the University Faculty Council to make informal inquiry into the situation in order to reach an agreement among the affected parties, if

possible, or alternatively to determine whether formal proceedings should be initiated. Within 60 days of the referral of the matter to the ad hoc committee, the committee shall recommend to the Provost that the matter be dropped, that formal proceedings be initiated, or that adjustments be made that would resolve the matter. Within 30 days of receipt of a recommendation, the Provost will communicate to the parties his or her response to the recommendation.

B. Grounds for Suspension or Termination

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

C. Notice of Initiation of Formal Proceedings; Settlement Efforts

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

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

IV. The Disciplinary Hearing Committee

A. Composition of a Proposed Disciplinary Hearing Committee

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

Each potential DHC member so contacted shall be afforded an opportunity to request excusal from service on the committee. If the UFC Chair, or his or her designee, assents, the faculty member shall be excused. If the UFC Chair, or his or her designee, does not assent, the faculty member shall not be excused. However, the faculty member's request to be excused shall be disclosed to the parties at the meeting held in accordance with the following paragraph, (i.e., section IV.B.). The UFC Chair, or his or

her designee, shall continue the selection process until 12 potential DHC members have been identified. Any potential DHC member who is a party or a witness to the conduct or event giving rise to the charge of wrongdoing shall be dismissed by the Chair.

B. Selection of Disciplinary Hearing Committee Faculty Members

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

C. Selection of Administration Members of the Disciplinary Hearing Committee

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

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

D. Chair of the Disciplinary Hearing Committee

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

V. The Hearing

A. The Parties

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

B. Burden of Proof

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

C. Establishing a Schedule and Procedural Ground Rules

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

D. Submission of Pre-Hearing Statements

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

E. Conduct of the Hearing

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

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

F. Waiver of Right to Participate in the Hearing

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

G. Committee Conclusions

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

the charged faculty member, the complainant (if any), and to the university General Counsel, or his or her designee.

VI. Action by the Provost

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

VII. Appeal of the Provost's Decision

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

VIII. General Rules

A. Expenses

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

B. Time Limitations

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

C. Confidentiality and Privacy

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

D. Recording of Hearing

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

E. Stay of Other Proceedings

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

F. Indemnification

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

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

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

[1] Harm includes both physical and non-physical manifestations or effects.

Appendix K

Patent and Copyright Policy

I. Patent Policy

A. Functions of Patents

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

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

2. encourages invention and rewards inventors;

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

4. generates income for the funding of research.

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

B. Definitions

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

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

C. Disclosure

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

D. Ownership

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

invention resulting from personal research or in profits accruing to such an invention.

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

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

E. Administration of IIT-Owned Inventions

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

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

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

F. Distribution of Income

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

of invention proceeds will be used to support research after IIT's expenses have been recovered.

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

G. Multiple Inventors

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

H. Overriding Agreements

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

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

I. Exceptional Cases

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

II. Copyright Policies

A. Policy Objectives

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

B. Statement of Policy

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

C. Summary Explanation of Copyright and Copyright Protection

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

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

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

D. Interpretation and Implementation of Policy

The following guidelines will be followed in implementing the policy.

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

2. Course Syllabuses, Notes, Slides, and Recorded Lectures. Ownership of materials created in the normal course of preparing and teaching a class vests in the author.

3. Master Courses or other equivalent material covered under the following provisions.

   a. Definition:
   Master Courses consist of pre-recorded lectures and pre-packaged instructional materials (handouts, assignments, assessments) that may be presented to students as a complete course for self-paced study or to instructors as the core material in support of an instructional section offered

during an academic session, whereby the ownership is shared by the faculty and university as detailed in this Appendix.

b. At the initiation of a faculty member, or in response and agreement to a request by an academic unit head or dean, faculty may contract with the Office of Digital Learning to create and maintain Master Courses for the purpose of offering prepared courses during regular academic periods and summer sessions, or as self-paced study on a per-learner basis, subject to the approval of the academic unit within which the course is offered. Ownership of Master Course vests with the university, but the university shall grant the author a license to use any developed material created specifically for or in support of Master Courses for other purposes, including publication or teaching. Reuse of Master Course materials in another teaching context shall be limited to use in a class setting where the instructor has personal, individual contact with, and control and assessment of, specific students. The author shall not be able to assign this right to any other person or entity. The faculty member responsible for creating the Master Course shall be compensated as described in the Distribution of Income section below.

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

5. Works with Extensive Real Costs to the University. University facilities are not to be used for personal gain or commercial advantage. Copyright of materials may be claimed by the university if the production involves extensive real costs to the university. Clearly insubstantial usage shall not cause ownership to vest in the university, nor shall use of facilities for which the individual has paid use fees from personal funds.

6. A faculty member may use materials that he or she has developed in preparing a course, to produce a textbook or other work. The resulting work, like the original materials developed, is the property of the faculty member.

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

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

E. Distribution of Income

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

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

3. Income derived from Master Courses shall be retained by the university. Faculty creating Master Courses will be compensated for the original creation of the class pursuant to a contract agreed to by the faculty member and the office designated by the Provost. In addition, such faculty will be paid residuals according to a schedule, negotiated every three years, by the University Faculty Council and the Office of the Provost.

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

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

F. Administration of the Policy

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

2. Wherever possible, the administrator of the policy and the author shall reach agreement prior to the commencement of work on the copyrightable material with respect to the category in which that material will fall.

3. The following copyright notice is to be used on all university-owned materials:

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

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

G. Resolution of Differences

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

H. Return of Copyright to Author

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

I. Copying of Works Owned by Others

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

III. Special Provisions Relating to Distance Learning

A. Transmission of Live Instruction

The university may transmit any classroom instruction, lecture or other instructional or performance event produced by faculty members as part of a program of distance learning with the consent of the instructor. The faculty member agrees to these provisions when accepting a teaching assignment that includes remote delivery. Objections to this are considered objections to a teaching assignment, and are dealt with according to established procedures to cover objections to teaching assignments. The faculty member has the right to object to transmission to more than 1000 individuals.

The university may record such instruction and provide it online for students who have missed particular classes or who wish to review material covered in class for the duration of the academic period or summer session in which the class is offered. The university, however, may not sell or re-transmit in future semesters any such recording except under the terms of such written agreement as stipulated in this appendix.

B. Other Policies Relating to Course Materials

1. The university is responsible for the technological support infrastructure and integrity of any online instruction in support of university programs. If a faculty member independently contracts with a third-party vendor offering the delivery of online instruction, he or she must inform the university of the nature and extent of that instruction and shall obtain permission from his or her academic unit head before beginning any such online instruction.

2. The faculty are responsible for the academic content of their courses and degree programs. As such, all classes offered to IIT students, including classes delivered using Master Course material in whole or in part, will be under the pedagogical control of an IIT faculty member, and under curricular control of the academic unit in which they are offered.

3. Faculty members have the right and obligation to update, edit or otherwise revise out-of-date course materials for Master Courses or other equivalent work governed by these provisions, and the university has the right to request that faculty members update their Master Courses. If the university

requests that a faculty member update a Master Course, the faculty member should be allocated sufficient time to do so and be compensated for the work according to the initial Master Course agreement between the faculty member and the university. If a faculty member declines to update a Master Course when requested and three years have passed since the Master Course was created or last updated, then the university shall be free to contract with others to update it, and the original author shall forfeit their right to residuals otherwise provided for in Article II, Section E(3).

4. It is anticipated that faculty members might separate from the university, by retirement, resignation or any other means during the lifetime of the Master Course materials. Contractually obligated payments will continue unless specific separation provisions are included in the contract created at the time of creation or revision.

5. Faculty may place a time limit upon the use of course materials that are particularly time sensitive, if these are negotiated and placed into the contract developed at the time of Master Course creation of revision

6. The Vice Provost for Academic Affairs will promulgate procedures for development and delivery of online instruction consistent with this policy.

Appendix L
Review of Alleged Research Misconduct

I. Introduction; Applicability

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

II. Definitions of Research Misconduct and Other Terms

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

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

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

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

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

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

"Plagiarism" is the appropriation of another person's ideas, processes, results or words without giving appropriate credit.

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

"Researcher" means any faculty member, research associate, student or any other individual conducting research through IIT.

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

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

III. Allegations; Inquires; Investigations

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

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

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

A. <u>Reporting Alleged Research Misconduct</u>

An allegation of research misconduct must be made directly to the Provost, who will conduct or will designate a senior administrator to conduct, under his or her oversight, a preliminary evaluation into the matter. Generally, the alleged research misconduct must have occurred within six years of the date the allegation is reported to the Provost. The Provost will have access to all documents necessary to evaluate the allegation and may confidentially consult with others during his or her evaluation. If the Provost finds no credible and specific evidence sufficient to support the allegation, then the complaint will be dismissed, and no notice need be given to

the researcher. The Provost, however, will prepare a written report setting forth the bases for this decision. The party making the allegation will be notified of the dismissal. If the Provost determines that the allegation is sufficiently credible and specific so that potential evidence of research misconduct may be identified, then the Provost, within a reasonably timeframe, will appoint an ad hoc committee ("Committee") to conduct an inquiry and, if warranted, an investigation of the allegation. The Committee will consist of three members selected using a process similar to that outline in Appendix J, Article IV of the Faculty Handbook, provided that the Provost's selection will be final. Prior to the beginning of the inquiry, the accused researcher will be given written notification of the allegation and a copy of this policy. On or before the date of such notification, the Provost will take all reasonable and practical efforts to secure all research records and evidence needed to conduct the proceedings, inventory these items and sequester them in a secure manner, provided, however, the accused researcher will be given copies of or reasonable access to all relevant materials, as appropriate.

B. Committee Inquiry

1. Purpose

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

2. Committee Report Regarding the Inquiry

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

report. The Provost may elect to notify the party that made the initial allegation.

3. Notifications by IIT

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

C. Committee Investigation

1. Purpose

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

2. Proof

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

3. Procedure

Immediately upon making the determination that an investigation is warranted, the Provost will appoint a new Committee of three members selected using a process similar to that outline in Appendix J, Article IV of the Faculty Handbook, provided that the Provost's selection will be final. The Committee will undertake an investigation within 30 days appointment. In addition to reviewing any and all relevant documents, information and materials, interviews will be held with individuals who may have

information, including the accused researcher and the party making the allegation. Consultation with experts from within or without IIT may also be undertaken. A complete summary of any interview will be prepared and submitted to the interviewed party for comment or revision. All comments or revisions must be made within 14 days after receipt of the summary. The accused researcher must be provided an opportunity (i) to respond both in writing and orally to the charges against him or her and (ii) to present evidence to the Committee. Investigations shall be completed within 120 days, unless an extension is granted by the Provost or, if applicable, the relevant funding agency.

4. Report

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

5. Notifications by IIT

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

The Provost must ensure that inquires and investigations are seen through to completion and pursued diligently as to all significant issues. As required, the applicable federal agency must be notified in advance if IIT plans to close a case at the inquiry or investigation stage on the basis that the accused researcher has admitted guilt, entered into a settlement or any other reason. The Provost need not report to the agency the closing of a case at the inquiry stage on the basis that an investigation is not warranted, but the Provost must report a finding of no misconduct at the investigation phase.

The Provost may take action and notify the relevant federal agency, without prior hearing or review, if any of these conditions exist:

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

6. Sanctions

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

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

Appendix M
Policy on Sexual Harassment

I. Introduction

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

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

II. Sexual Harassment Defined in Employment

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

III. In Relation to Students

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

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

IV. Faculty Student Romantic Relationships

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

V. Recognizing Sexual Harassment

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

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

VI. Dealing with Sexual Harassment

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

A. Possible Individual Actions Other Than Complaint

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

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

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

B. Making a Complaint

A complaint alleging violation of the policy prohibiting sexual harassment may be filed by any person who has been the subject of such harassment. The privacy of complainants and those accused of violating this policy shall be protected to the extent possible. Upon motion of any party, meetings and hearings shall be closed. All reasonable measures will be taken to assure that no one involved in any complaint, investigation, or remedy shall suffer retaliation as a result of the proceedings.

Except for informal complaints in which the complainant elects to take no action beyond consultation, all parties involved in the complaint shall be informed of the content and status of the complaint and shall be given the opportunity to respond. No actions with respect to the complainant shall be initiated without the consent of the complainant, unless a determination is made by the General Counsel that the best interests of the individuals or the university require action, notwithstanding the absence of such consent.

C. Informal Consultation and Resolution

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

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

D. Investigation Prior to Formal Action

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

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

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

E. Formal Action

Upon receipt of a recommendation for formal action, the Director of Equal Opportunity and Affirmative Action will review the report of the preliminary investigator with the appropriate administrative official defined below:

When a faculty member, graduate assistant, or other academic employee has been charged, the Provost or that person's designee; when a staff member has been charged, the Associate Vice President of Human Resources or that person's designee; when a student has been charged, the Dean of Students or Associate Dean (Chicago-Kent) or that person's designee.

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

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

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

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

Appendix N
Privacy Rights and Access to Educational Records

I. Protection of Privacy

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

A. Accessibility of Educational Records

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

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

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

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

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

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

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

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

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

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

B. Independent Status of Student

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

C. Defining School Officials with a Legitimate Educational Interest

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

II. Student Access to Records

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

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

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

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

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

III. Obtaining Records and Maintaining Names of Recipients

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

The right to inspect educational records is not granted to applicants for admission until such time as the applicant may be admitted and has completed registration at IIT.

Students and former students of IIT may make an appointment to inspect individual educational records during regular office hours. For additional information please contact the Office of the Registrar at 3424 S. State Street, 2nd Floor (312.567.3100, registrar@iit.edu.).

IV. Student Challenges to the Accuracy of Records

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

V. IIT's Maintenance of Directory Information

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

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

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

VI. Ethical Responsibilities of Faculty Members with Access to Records

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

Appendix O
Honorific Title: Distinguished Professor

I. Introduction

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

II. Procedures for Selection of Distinguished Professors

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

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

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

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

III. Selection Criteria

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

A. Engineering

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

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

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

3. the publication of award-winning books or textbooks of such quality that they are regarded as classics in the field;

4. the publication of at least one research paper that is widely recognized as making a major impact on the field;

5. award-winning teaching quality;

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

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

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

B. Science

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

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

2. receipt of an honorary degree from another university;

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

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

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

C. Chicago-Kent College of Law

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

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

3. Scholarship: Any candidate must excel at all areas of being a professor and must contribute significantly to the life of the law school. In particular, the candidate must have an outstanding national or international reputation for scholarship. The scholarship must have significantly advanced the development of the law or an understanding of the law and must be widely used in the practical or intellectual legal communities. The scholarship must be equal to the highest quality of scholarship existing at the college of law.

4. Productivity: The candidate must have a very substantial body of published work. Ordinarily, candidates must have at least 20 publications overall and at least half that number of publications must have appeared since promotion to full professor. Meeting this normal minimum standard of quantity should convey no expectation of qualification for a distinguished professorship.

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

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

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

D. College of Architecture

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

1. architectural practice: recognition in the community and profession, national or international;

2. teaching ability: inspiring students to learn and work;

3. research/writing: production of outstanding studies within the college, or writing of at least national prominence; and

4. lectures/exhibitions: outstanding record on the national level.

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

E. Graduate School of Design/Institute of Design

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

1. a continuous record of distinguished contributions either by editing and/or writing for professional or scholarly publications;

2. election as a fellow in a professional society;

3. receipt of a national or international award for distinguished research, teaching, or professional work; and

4. a continuous record of their students winning major awards and/or having their work included in professional publications.

F. College of Human Science

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

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

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

2. receipt of an honorary degree from another university;

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

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

G. Stuart School of Business

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

H. School of Applied Technology

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

Appendix P

Process for Changes in Policy, Procedure, and Curriculum, and for Elimination of Degrees and Programs

I. Introduction

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

II. Policy or Procedure Change

A. Initiation of Proposals

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

B. Proposals from the Faculty

1. Who May Submit a Proposal

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

2. Initial Determination as to the Merits of a Proposal

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

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

3. Proposals Entailing Minor Change

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

4. Proposals Entailing Major Changes

If the UFC determines, in accordance with subsection II.B.2. above, that a faculty member's proposal entails a major change, the UFC shall solicit comments from the academic units relevant to the proposal and present the proposal for discussion at a regular or special faculty meeting. After receiving comments from the academic units and from the Faculty meeting, the UFC shall consider the original proposal, and any proposed modified form of the proposal, in light of the comments. If the UFC approves the proposal, either in its original or in a modified form, by a vote of no less than one-half of the entire voting membership of the UFC, the UFC shall distribute to each eligible voting Faculty member a copy of the proposed change along with any supporting documentation. Upon request of at least 10 eligible Faculty voters, the UFC shall withhold transmitting approval of the proposal until the proposal has been put before the full Faculty for a vote at a regular or special meeting of the Faculty. If the UFC has not received such a request from at least 10 eligible Faculty voters within 10 regular academic[1] or 30 calendar days, whichever is sooner, following distribution of the proposal, then the chair of the UFC shall transmit the approved proposal to the President.

5. President's Action

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

[1] For the purposes of this appendix, a "regular academic day" is defined as a day of normal courses in either the fall or spring semesters.

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

C. Proposals from the President

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

2. Submission to the Faculty of Proposals Entailing Major Changes
If, upon receipt of a proposal from the President, or at any time thereafter during the course of the proposal's consideration by the UFC and/or the academic units in accordance with subsection II.C.1. above, the UFC determines that the proposal entails a major change, the UFC shall solicit comments from the academic units relevant to the proposal and present the proposal for discussion at a regular or special Faculty meeting. After receiving comments from the academic units and from the Faculty meeting, the UFC shall consider the original proposal, and any proposed modified form of the proposal, in light of the comments. If the UFC approves the proposal, either in its original or in a modified form, by a vote of no less than one-half of the entire voting membership of the UFC, the UFC shall distribute to each eligible voting Faculty member a copy of the proposed change along with any supporting documentation. Upon request of at least 10 eligible Faculty voters, the UFC shall withhold transmitting approval of the proposal until the proposal has been put before the full Faculty for a vote at a regular or

special meeting of the Faculty. Upon submission of the proposal to the Faculty, the UFC shall cease to have jurisdiction as to the matter. If the UFC has not received such a request from at least 10 eligible Faculty voters within 10 regular academic or 30 calendar days, whichever is sooner, following distribution of the proposal, then the Chair of the UFC shall transmit the approved proposal to the President.

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

4. Submission of the Proposal to the Academic Leadership
The President also shall transmit the administration proposal to the members of the academic leadership for comment. The academic leadership members shall submit their comments to the President within 90 days of the date of its submission to them.

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

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

III. Curriculum Change

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

B. Proposed Curriculum Changes

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

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

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

D. Proposals Regarding Undergraduate Programs

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

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

2. Action by the University Faculty Council

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

3. Action by the Faculty

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

academic or 30 calendar days, whichever is sooner, following distribution of the proposed curriculum change, then the UFC shall transmit the approved proposal to the President.

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

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

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

E. Proposals Regarding Graduate Programs

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

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

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

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

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

proposal approved by the Faculty, this modified proposal shall be considered in the same manner as the original proposal was addressed.

IV. Degree or Program Elimination

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

A. Proposal from Academic Unit

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

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

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

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

5. Action by the President

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

B. Proposal from the President

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

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

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

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

5. Action by the President
The President shall review the recommendations received from the Faculty and the academic leadership. He or she shall refer the matter, with the recommendations received and with his or her own recommendation, to the Board of Trustees, or its Executive Committee, for action.

Appendix Q

Policies and Procedures

Relating to Non-Tenure Track Ranks

I. Overview

All full-time faculty positions fall into one of four appointment categories. Ranks within each of those categories are defined in the body of the Faculty Handbook. Procedures for review and renewal for the Tenure and Tenure-track category and its ranks are set out in Appendix C of this Faculty Handbook. Teaching Faculty appointments and its ranks are long-term non-tenured positions; Research Faculty appointments are short-term non-tenured positions; and Presidential appointments are special status appointments made by the President. Policies and procedures relating to ranks in these latter three categories are described below.

II. Standards

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 shall publish standards for appointment and retention for each rank, consistent with the definition of that rank, in this Faculty Handbook and in this Appendix Q, and based on clearly defined standards of academic quality. These standards should distinguish the rank from the Tenure and Tenure-track ranks and should not simply be a means to avoid appointments in Tenure and Tenure-track ranks. 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 renewal shall be evaluated following the standards given to him or her at the time of last appointment unless they agree to be evaluated following a version revised or amended subsequent to that appointment.

The standards governing the contract produced by each academic unit for renewal and promotion of Teaching faculty shall include at a minimum: the faculty member's accomplishments within their own area of expertise; the educator's demonstrated abilities to teach and work effectively with students, including an examination of their actions to improve teaching and learning. Other factors that may be considered include the educator's administrative/service contributions to the academic unit and the university, including committee participation and/or student advising; the educator's involvement in matters related to research; and the educator's involvement with relevant professional associations, scholarly or practice-oriented publications and presentations at conferences. Standards should avoid assessments or instruments that the faculty member cannot control or are based on performance not directly related to learning or teaching as specified by appropriate professional societies.

Standards shall also be developed for expectations of these activities specific for each level, Assistant Teaching Professor, Associate Teaching Professor, and Teaching Professor, that will be used in developing recommendations for promotion

III. Review

Each academic unit must adopt and publish a process for renewal and promotion review.

A. Teaching Faculty Appointments

Reviews will be done by an Academic Unit Committee on Appointments and Retention (AUCAR). Published standards for renewal should be distributed to faculty members with Teaching Faculty appointments in sufficient time to prepare for a review. The candidate shall then provide a portfolio for review to the AUCAR and the academic unit head. There must be an AUCAR review prior to renewal of any Teaching Faculty member.

The AUCAR for renewal of Regular Teaching Faculty shall be comprised of an academic unit's tenured and teaching faculty members of rank equal or higher to that of the faculty member under review. The AUCAR may delegate development of a recommendation for specific candidates to a subcommittee of the AUCAR approved by a vote of the full AUCAR, but final approval and wording of the recommendation shall be considered and voted on by the full AUCAR. The head of the academic unit in which the faculty member serves shall not be an AUCAR member nor be part of any discussions involving the AUCAR review.

The AUCAR for promotion of Regular Teaching Faculty shall be comprised of an academic unit's tenured and teaching faculty members of rank equal or higher to that sought. For promotion, a teaching faculty member of rank equal or higher to that sought from outside the academic unit shall be added to the AUCAR. This outside member shall be nominated by the candidate, and approved by the relevant Dean.

For the purposes of assembling the AUCAR only, the rank of associate tenure professor is considered equal to the rank of associate teaching professor, and the rank of full tenured professor is considered equal to the rank of full teaching professor. This equivalence applies strictly to the composition of the AUCAR and does not confer any additional rights or privileges to teaching faculty.

If the AUCAR has fewer than four members, the committee must be augmented with additional qualified faculty members. The AUCAR should first be augmented with tenured associate professors from within the department and then, as necessary, from the ranks of full professors, full teaching professors, associate professors, and associate teaching professors from within the college. The candidate may suggest external members, subject to approval by the relevant Dean.

Consistent with the academic unit's published process for renewal and/or promotion, which may include an AUCAR-approved subcommittee, the AUCAR shall meet and discuss the accomplishments of the candidate. The candidate has the right to address the AUCAR concerning their accomplishments and/or provide further explanation. The AUCAR shall evaluate the candidate against its published standards and vote to "recommended" or "not recommended" for renewal and/or promotion of the candidate. The AUCAR shall compose a written evaluation letter which includes the vote count and, consistent with the vote count, describes the strengths and weaknesses of the candidate. The AUCAR will transmit evaluation letter to the academic unit head and to the relevant academic Dean.

The academic unit head will provide an administrative review report to the relevant academic Dean. The relevant academic Dean shall provide a recommendation that contains both the AUCAR evaluation letter and the academic unit head report to the Provost. All documentation is provided to the faculty member under evaluation, the academic unit head, and the Dean, and then forwarded to the Provost for review and action. Renewal and promotion is at the discretion the Provost after consideration of these reports

For faculty in the Professor of Practice rank, AUCAR review is at the option of the academic unit head, and renewal is at the discretion of the relevant academic dean in consultation with the Provost and academic unit head.

B. Research Faculty Appointments

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

C. Presidential Faculty Appointments

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

IV. Voting Rights

Teaching Faculty with the titles of Associate Teaching Professor and Teaching Professor shall have the right to vote in faculty committees and in matters of joint governance that arise within an academic unit, as well as on university matters at university faculty meetings. The voting faculty of academic units may also extend academic unit voting rights for fixed terms, on non-tenure related matters, to other ranks of faculty as they see fit. Teaching Faculty who have the title of Teaching Professor, may serve on the University Faculty Council. Voting rights on

university faculty matters, including the right to serve on the University Faculty Council (UFC), may be extended for fixed terms to other ranks of faculty by the regular voting members of the faculty at a meeting of the university faculty.

V. Termination of Contract for Cause

If the Dean, after consultation with the Academic Unit chair, determines that a Teaching Faculty member has breached their contract, or where just cause otherwise exists for termination of employment during a contract term, the Dean shall provide written notice to the Teaching Faculty member of the university's intention to terminate the Teaching Faculty member's employment in accordance with the process described in the IIT Faculty Handbook, Appendix J.

VI. Termination for Financial Exigency

Pursuant to the language of the employment contracts of Teaching Faculty members, the University may terminate the employment of any teaching faculty member for reasons of financial exigency. In such event, the termination shall not take effect until the completion of the semester during which the exigency arises or, if the exigency arises during a period between academic semesters, until the conclusion of the next academic semester.

VII. Hiring and Initial Appointment

A Teaching Faculty Member's rank will be determined based upon the experience of the candidate in terms of both teaching and service. The Dean in conjunction with the Academic Unit head shall have the discretion to hire a Teaching Faculty Member on a one-year probationary basis without AUCAR review. During that year, upon recommendation of the academic unit head in consultation with the Dean, the AUCAR will be convened to vote on and develop a recommendation for renewal for a multiyear contract as described herein.

VIII. Caps

A. Introduction

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

B. Teaching Faculty

Absent unusual circumstances, each academic unit should keep the ratio of the total number of Teaching faculty to the total number of Tenure and Tenure-track faculty under 50

percent. Therefore, Teaching Faculty should comprise no more than one-third of the sum of Tenure and Tenure Track Faculty and Teaching Faculty.

C. Professors of Practice

Since the Professor of Practice position involves individuals whose main affiliation is not with IIT, special considerations related to Caps apply. Absent unusual circumstances, each academic unit should keep the ratio of the total number of Professors of Practice faculty to the sum of Tenure and Tenure Track and other Teaching Faculty members under 34 percent. Therefore, Professors of Practice faculty members should comprise no more than one-fourth of the sum of Tenure and Tenure Track and other Teaching Faculty members.

IX. Appointments Funded with "Soft" Money

On occasion, faculty salaries may be funded primarily from sources outside the university. For regular Teaching faculty with multiyear contracts this shall not be cause for early termination or waiving of non-renewal notice periods. If it is envisioned that continuing support is not possible, the administration may either move this position to the Professor of Practice category at the time of contract renewal, which carries with it no such expectations of multiyear contracts or non-renewal notice; or alternatively implement the financial exigency clause. If a move to the Professor of Practice rank is implemented, advance notification of such shift is required equivalent to the non-renewal notice periods specified based upon length of service.

X. Additional Ranks

Titles of ranks for Teaching, Research, and University Faculty positions are specified in this Faculty Handbook. Other titles may be added to any of these categories with the approvals of the President and the UFC.

Appendix R
Standards for Extending the Probationary Period of Tenure-Track Faculty

I. Overview

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

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

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

II. Conditions

A. Length and Frequency of Extension of Probationary Period

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

B. Grounds for an Extension

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

C. Candidate's Eligibility

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

III. Timing of Request

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

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

IV. Procedure for Request

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

V. Approval of Request

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

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

Appendix S

Authorship

I. General Overview and Background

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

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

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

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

II. Authorship Guidelines per Discipline

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

Science and Engineering (including Food Science and Nutrition):

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

Mathematics

American Mathematical Society, http://www.ams.org/about-us/governance/committees/cprof-home#culture.

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

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

A Guide to Professional Ethics in Political Science,https://www.apsanet.org/portals/54/Files/Publications/APSAEthicsGuide2012.pdf

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

Architecture and the Visual Arts
American Institute of Architects:

Code of Ethics and Bylaws, http://www.aia.org/about/ethicsandbylaws/index.htm#P5_3869; and

Guide to Copyright in Architectural Works, http://www.aia.org/pdf/?dname=AIAP016582.

College Art Association:

Committee on Intellectual Property, https://www.collegeart.org/standards-and-guidelines/intellectual-property

Humanities, Business and Law

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

The Research Journal of English Language and Literature (RJELAL) - Code of Ethics, http://www.rjelal.com/Ethical%20Guidelines.html.

Plagiarism in Colleges in USA - Dr. R. Standler, which includes useful legal brief with case histories of authorship disputes of faculty, students, professionals and lawyers, www.rbs2.com/plag.pdf.

Design

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

AIGA Guide to Copyright:
http://www.stopworkforhire.com/documents/aiga_6copyright_07.pdf.

IDSA Code of Ethics:
https://www.idsa.org/Revised-Code-of-Ethics

MIT Press Journals:

https://direct.mit.edu/journals

Further, and perhaps because it is a multidisciplinary field that is predicated on collaboration and team-driven processes, it is both common practice and an expectation in design to credit

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

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

III. Author Attribution

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

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

A. Mediation

1. A faculty member should inform the respective unit head/s or deans and attempt to reconcile confidentially with the mediation of one or more of these academic administrators with the accused. The parties should agree as to which administrators are involved with the mediation.
2. A faculty member who can reasonably demonstrate to the Provost that a conflict of interest may exist for either the department head or the Dean to conduct the mediation may ask the Provost to confidentially mediate the dispute.
3. A faculty member who can reasonably demonstrate to the UFC that a conflict of interest may also exist for the Provost to conduct the mediation may ask the UFC to oversee mediation of the dispute. In the event that a mediation request relating to authorship is to be handled by the UFC, the UFC will appoint a committee of faculty members, each without conflict of interests, that is well represented by the discipline (or field, such as Biology or Physics rather than simply science) of the disputed work will convene, to confidentially mediate the dispute.

B. Post-Mediation Options

In the event that mediation is unsuccessful,

1. A faculty member may file an academic grievance in accordance with the procedures set forth in Appendix I of the Faculty Handbook; or
2. A faculty member may file an allegation of research misconduct in accordance with the procedures set forth in Appendix L of the Faculty Handbook.[1]

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

IV. Student Theses

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

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

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

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

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