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**REPORT FROM THE SENATE EXECUTIVE COMMITTEE TASK FORCE
ON FACULTY ISSUES AND CONCERNS**

SEPTEMBER 9, 2013

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REPORT FROM THE S.E.C. TASK FORCE ON FACULTY ISSUES AND CONCERNS

This Task Force was established by the Senate Executive Committee at its May 13, 2013 meeting, and charged by SEC Chair Matthew Wheeler to meet with representatives of campus administration to collect information and to discuss current and proposed initiatives related to the faculty concerns presented to the Senate on April 29, 2013 in a joint letter authored by Senators Nicholas Burbules and Randy McCarthy (see Appendices A and B.).

The Task Force has completed its work and hereby submits its findings and recommendations to the Senate Executive Committee.

The Task Force did most of its work in three separate subcommittees, chaired by Nicholas Burbules, Randy McCarthy, and Joyce Tolliver, which divided up the original list of ten topics. Because of the cross-related aspect of many of these issues, we are submitting a single jointly authored report, broadly organized around the themes in the original letter. As we discussed the issues, we also identified some additional related topics not raised in the original letter.

In ongoing conversations with members of the Provost and Chancellor offices, we believe that we have made significant progress in proposing realistic, achievable approaches to the salary, benefits, budget, promotion and tenure, and governance issues we were asked to address. We also learned more about initiatives already in place or underway in these areas that are not known to most faculty. We appreciate the time and effort of our administrative colleagues in meeting with us over multiple working sessions. This process has been an exercise in shared governance and collaborative problem-solving at its very best.

The result is, we believe, a major step toward further strengthening shared governance on this campus.

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CONTEXT

The primary challenge before our campus in the years ahead is how to continue to pursue excellence in the face of significant financial, competitive, and technological headwinds. The financial headwinds are well-known: a fiscally strapped state, enormous unfunded pension and retiree health care obligations, cutbacks in federal support for research, and relatively flat tuition trajectories are among the many factors that are stressing the university's financial models. A need to stay competitive with peer institutions – not all of which face the same daunting combination of financial challenges – will require difficult choices about resource allocation. Finally, the emergence of technologies with the potential to disrupt the traditional model of higher education finances will require us to be nimble and adaptive. We will need to manage new resources judiciously, but also rely on strategic reallocation internally.

Rising to this challenge will require our university to become increasingly adaptable and efficient. This, in turn, will require organizational changes, as it is highly unlikely that the organizational structures and processes of the past will be the same ones that promote excellence in the future. In recognition of the knowledge and expertise of many members of the faculty on issues related to the challenges we face, our traditions of shared governance, and our belief that faculty working in partnership with administration leads to *better* long-term outcomes, we believe that it will be critical for faculty to have a strong voice in making resource allocation decisions moving forward. However, we also recognize that with this right and opportunity comes an immense responsibility to provide constructive input on how to best position ourselves for future excellence, to design and execute a faculty governance process that allows us to be agile and forward-looking, and to ensure that we make decisions on the basis of the long-term good of the institution as a whole rather than the narrow interests of individual faculty or units.

SALARY

Maintaining the excellence of the university requires strength in all major areas of campus. Past practices have left some departments with serious deficiencies in their salaries as compared to their external peers, which has made it difficult to retain strong faculty and hire new faculty of comparable quality. Moreover, it has left faculty in some departments believing that they are underappreciated by the campus as whole. For several years, the campus has conducted a review of average salaries in each department by rank, compared with those of self-identified peer institutions. This past year, the Provost has begun to systematically address the pay discrepancies that these reviews revealed, focusing especially on faculty in the arts and in the humanities. It will take a substantial influx of salary revenue, on the order of \$10 million, to realign salaries across the entire campus.

The latest AAUP ranking of faculty salaries (<http://chronicle.com/article/2013-AAUP-Faculty-Salary/138291/>) has Urbana 16th among four-year public universities for average full professor salaries; 40th for associate professors; and 10th for assistant

professors. Many of the public and private universities that we consider peers or competitors rank ahead of us in these ratings. Within those totals, moreover, the data also indicate a noticeable gender gap on our campus, varying from 6%-10%, depending on rank.

Recommendation 1: The steps made this year begin to address salary inequities, and the campus should be committed to a general multi-year salary program to bring faculty salaries up to a highly competitive level within the next 5 years. The low comparative ranking for Associate Professors, if accurate, is a particular concern.

Faculty should be involved, along with administrators, in the ongoing process of monitoring our progress toward achieving comparative salary equity in relation to our peers. (This could be one activity of the proposed Compensation Review Committee, described below.) Causes for the gender gap in salaries, as well as any other persistent inequities within the campus, should be analyzed and addressed.

It is not recommended that higher salaries for tenured faculty be accomplished by heavily relying on non-tenure track faculty as has been done at some institutions, for example UC Berkeley, but by maintaining to the extent possible our history of offering undergraduate and graduate classes taught by active tenure-track researchers. The recent commitment from the Chancellor and Provost to hire 500 (new and replacement) faculty over the next 5-7 years is an encouraging step in this direction: but the resources needed to hire these faculty members (competitive salaries, start-up packages, etc.) should not come at the expense of rewarding deserving, committed faculty who are already here.

The current State budget situation, especially with pension and health care concerns, makes these goals difficult to achieve. It is likely that some funds will need to be shifted from other current expenditures (such as through reduction of other spending or increased efficiencies in operations) in order to allow more money to be available for faculty salaries. The administration should work with the Senate, and Senate committees, to determine how this can best be accomplished. The Campus Budget Oversight Committee (CBOC) is one likely place for these discussions to be focused.

BENEFITS

The excellence of an academic institution depends on attracting and retaining world-class faculty, which requires that we be able to provide a total compensation package that is competitive with peer institutions. Total compensation includes not only salary, but also research support, scholarly travel support, retirement and health plans, and a range of other benefits (e.g., family leave, tuition waivers, access to high-quality pre-K-12 educational opportunities for family members).

Recommendation 2: The campus should develop a comparison model that combines various aspects of salary and benefits into a set of overall compensation metrics and benchmarks these against peer institutions.

A competitive compensation package requires significant financial resources, again underscoring the need for the campus to become more efficient. Trade-offs abound: between number and quality of faculty, between various forms of compensation (e.g., pay versus pension versus research support), and between the need for efficient scale of operations and the desire for unit-level autonomy, among others. Gains in some areas, such as salary, may end up being offset by increased costs in other areas, such as health care premiums.¹

Although faculty oversight of this process is critical, many aspects of the total compensation package are highly technical and complex (e.g., how the value of various retirement plans compare across peer institutions). Further, the goal of transparency often runs headlong into concerns about confidentiality.

Recommendation 3: The campus should create a Compensation Review Committee (CRC), similar in composition to the Campus Budget Oversight Committee (CBOC) that would be charged with:

- **Benchmarking all aspects of total compensation against peer institutions**
- **Analyzing trends**
- **Making recommendations regarding the mix of benefits and salary that maximizes our ability to compete, while recognizing the fiscal constraints facing the university**
- **This committee, like CBOC, would include faculty nominees from the colleges, recommended by Deans to the Provost, and nominees from the Senate. The chair of the SEC would meet with the Provost to determine the final membership of the CRC each year. (This is one of several possible models; the committee might also be a subcommittee of CBOC. The important thing is that this committee needs to work with CBOC, one committee helping to set compensation goals and priorities, the other helping to formulate budgetary and reallocation strategies for achieving them, both in conversation with the Provost.)**
- **This committee would have access to the full range of data about faculty compensation, comparative data against peer institutions, including data on health, dental, and vision care options, retirement plans, insurance options, leave policies, and salary equity and compression. It would make recommendations to the Provost for short-term and long-term strategic**

¹ It is also important to keep in mind that different universities have greater or lesser control over elements in their benefits package; for Illinois, pension and health benefits are provided via the state.

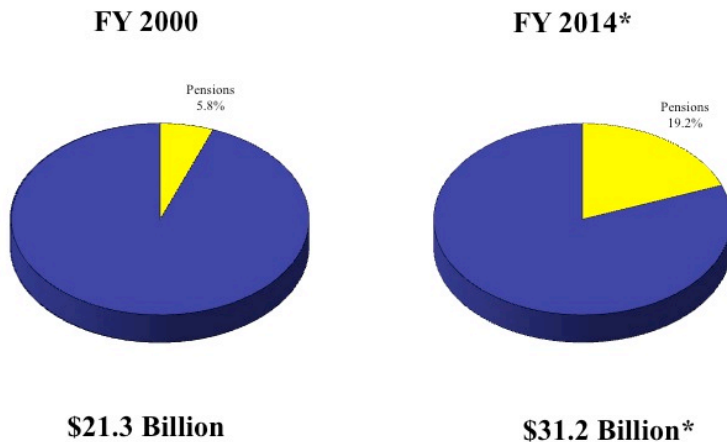
priorities in improving our competitiveness in recruiting, retaining, and rewarding deserving faculty, taking a holistic view across all compensation areas

- Depending on the organization and functions of this committee, the current Faculty/Staff Benefits Committee might be reconfigured, or even eliminated

THE STATE PENSION SITUATION

We think it is long past time for a serious, realistic conversation about the state pension situation. Notwithstanding the provision in the state constitution that says benefits “shall not be diminished or impaired,” (<http://www.ilga.gov/commission/lrb/con13.htm>), there is a broad consensus among serious analysts that the state cannot continue to fund the current defined benefit pension system without modification. Although we share the frustration of current retirees and workers who made their contributions to fund the system while the state did not, this recognition does not alter the economic, fiscal, and political reality that change is required. Pensions as a share of the Illinois state tax appropriations have grown from 5.8 percent in fiscal year 2000 to 19.2 percent in the Governor’s proposed 2014 budget. Even if the state were to include revenue increases as part of the solution, these pension expenditures are unsustainable, and threaten to crowd out numerous other high priority public expenditures, including direct support to higher education:

Pensions as a % of State Tax Appropriations FY 2000 – FY 2014



*Governor’s proposed budget.

In our view, the best opportunity to influence the nature of legislative action is to actively engage the question of *how* the current pension program will need to change. We endorse the principles set forth in a document prepared by University of Illinois faculty members and released through IGPA that any reform must be constitutional, fiscally responsible, and provide a secure retirement system for members. (http://igpa.uillinois.edu/system/files/A_Time_for_Action_on_SURS.pdf)

As discussed previously in this report, pensions are one part of the overall compensation package for employees: our ability to attract and retain world-class faculty depends critically on offering a highly competitive compensation package. Unlike other plans introduced in the General Assembly, which would make deep cuts to benefits or force employees to choose between cost of living adjustments and health care (while still not resolving the long-term fiscal imbalance), we view the “Six Step” plan developed by campus researchers, released through IGPA, and endorsed by the university administration (<http://igpa.uillinois.edu/system/files/Six-Simple-Steps-for-Reforming-SURS.pdf>) as the best among a range of less-than-ideal options. The “Six Step” plan provides the university with more control over funding the pension system, fixes the unacceptably weak Tier II program option for newer campus employees, and requires that the state fulfill its obligation to pay down the unfunded liability.²

A key objective of any pension reform should be to revamp the Tier II program for employees hired after January 2011. No alternative proposal addresses this problem. The existing program is a serious impediment to faculty hiring and recruitment, since a new faculty member who comes to Illinois and spends six years striving for tenure, but does not succeed, will receive no credit from Social Security, no public pension, and no employer pension. We support replacing the current Tier II program with a hybrid plan, as called for in the proposal issued through IGPA. This hybrid plan includes both defined benefit (DB) and defined contribution (DC) components. All new employees would be enrolled in both components of the plan and current employees could switch to this plan if they choose. The DB component would provide guaranteed benefits — about one third less than now — that, like the Social Security system, cannot be outlived. The DC component will offer additional opportunity to accumulate assets for retirement through a combination of employee and employer contributions that the employee would invest in a selected portfolio of low cost investments made available to them.

The hybrid plan would cost employees and the state no more than the current plan. Employees would make the same contribution, which would now be credited to both the DB and the DC components. All universities and colleges would put additional monies into each employee's DC account in the form of fixed and matching contributions. The amount of matching contribution could vary by institution depending on the competitive environment they face in recruiting faculty and staff. This way each university and college in Illinois can tailor the program to its own needs. This revised plan would also reduce the vesting period so faculty who leave long before they have been here for 10 years would be entitled to a portion of their retirement benefits earned while at the University of Illinois.

² Significantly, relief from other regulatory constraints, especially procurement restrictions, which is an ongoing concern for faculty, is also being discussed in these negotiations.

Recommendation 4: We support the ongoing efforts of the university to use the six-point IGPA plan as a framework for pension reform. While less than perfect, it is vastly superior to the other alternatives realistically in play, and it seriously addresses the long-term sustainability of the pension program, including revamping the Tier II program, which other proposals do not.³

If there are other approaches to the pension problem that can be fed into the debate, we welcome them. The key principle is to be engaged and realistic in trying to influence the ongoing policy process.

OTHER BENEFITS

There are a range of other benefits that are important to faculty, some formally counted as part of our compensation package, others that provide additional resources to support personal or professional well-being. Taken as a whole they create the kind of environment that helps recruit and retain our best people. We list several of these below.

Health benefits

The current requirements of the campus health care plan, including premiums and co-payments, are negotiated at the state level by AFSCME. Because of that union's constituency, the terms of this arrangement are relatively unfavorable for higher income employees (although one can argue that this is fair for a progressive system).

No campus or university entity, including campus unions – even the local branch of AFSCME – has any significant input or influence into those negotiations. While there is some frustration with the recent shift of payments to campus employees, our committee did not see any constructive role we could play in addressing that problem in the context of this report.

Family leave and related programs

Our campus program regarding family leaves is fairly generous, compared with peers. In 2010, The Collaborative on Academic Careers in Higher Education cited the University of Illinois at Urbana-Champaign as one of four exemplar doctoral institutions based on tenure-track faculty ratings of "work and home balance and supports." In 2011, Academic Human Resources commissioned a comparison of our family-friendly benefits with those at several peer institutions. Comparisons were made to the Universities of Maryland, Michigan, California, Texas, Stanford and Cornell.

³ If other, campus-oriented programs are ultimately needed, either in place of or in addition to state programs, we need to ensure that we look not only at peer data but input from our most recent hires in the assistant professor rank.

The results indicated that the University of Illinois is very competitive in the family-friendly benefits that we offer.

Nevertheless, marketing of our benefits as well as uniform implementation of policies across units need to be improved. The Office of the Provost recently created a single source website that summarizes faculty-related work-life balance and family-friendly benefits (<http://provost.illinois.edu/worklife/index.html>). This information is also presented each year at the Illinois New Faculty Orientation and at annual programming for midcareer faculty. There are numerous additional benefits such as sick leave, Family Medical Leave, tuition waiver support for children, etc. that are provided to all employees. Clearly, additional efforts in communicating these benefits to faculty are needed on an ongoing basis.

Tuition waiver program

This state-mandated program provides a 50% waiver to children of current employees who have worked for a state public university for at least seven years. The current program is disadvantageous to our campus because more faculty at other state universities want to send their dependents to our campus than vice versa. It is, in effect, another unfunded liability for our campus costing several million dollars per year. If the state were to eliminate the program, the Chancellor and the Provost have indicated that some internal program would be devised to replace it. In fact, it could be advantageous for our campus as a whole, because it would allow us to develop our own internal policies for reduced tuition for our own faculty and staff and their dependents. We could, for example, have a program within the University of Illinois campuses that allows children of employees to attend any of the three campuses to which they are admitted for a discounted tuition rate. Because our campus would no longer have to support lower tuition for students of non-U of I state public university employees, it would be possible to develop a more generous program, in terms of reduced length of qualifying employment or percent of costs funded, at the same current price tag to our campus.

University High

Access to high quality educational opportunities is a major factor in the recruitment and retention of many faculty. Although there is a range of public and private options for elementary and middle school aged dependents, at the high school level a prime attraction for faculty is Uni High, which is a selective admission, public, laboratory school associated with the University of Illinois at Urbana-Champaign. Currently, however, Uni is able to accommodate only a fraction of the academically talented students who apply. We think it is worth exploring whether to expand this educational benefit to a greater number of university faculty and staff. As part of its ongoing strategic planning efforts, we encourage the campus and Uni High to review the size, organization, and management of Uni High and its relationship to the university.

Workplace health/wellness

Staggering health-care costs, rising levels of cancer, diabetes, and heart disease, and epidemic obesity rates have created a health crisis in our society. Lifestyle choices and modifiable behaviors are major causes of morbidity and mortality in the United States. Our national health care system has been designed to treat, rather than prevent, disease and disability. Yet college campuses and worksites across the country are recognizing that health promotion efforts are key to fostering wellness among employees and, in turn, reduced health care costs. A campus-wide wellness culture will require widespread support and collaboration, innovative programming, and a multidimensional approach to personal health. We encourage the campus to explore ways to ensure that Illinois is a leader in this approach. For example, an incentive-based wellness initiative could be considered that rewards employees for participating in wellness-related activities and programs.

All of these benefit areas, and others, would be part of the total compensation review and oversight function of the proposed Compensation Review Committee.

We have argued here for a holistic view of all salary and benefits issues as part of an overall compensation package in order to promote greater equity internally and competitiveness externally. One major impediment is a lack of clear information about what our current benefits programs are. All of this information is available somewhere on the web, but in scattered locations. The NESSIE site does not address campus issues, and the state benefits handbook is poorly written and not user friendly. In certain areas, such as family leave policies, we actually have quite strong programs compared against peers, but awareness of them varies from unit to unit, so that some faculty benefit from them while others are not even made aware of them. New faculty candidates being interviewed for positions often want information about benefits, but there isn't a "one stop" resource to which they can be directed.

Recommendation 5: The benefits situation on campus is complex and includes many elements. Information about these several programs is available online, but in different places. We recommend the development of a single faculty benefits handbook, available in print or via PDF, that brings together in one place a clear, concise explanation of the various benefits programs, written in a user-friendly form.

BUDGET TRANSPARENCY

The ability of the Senate Budget Committee to provide the campus with informed advice and analysis is hampered by the difficulty of assembling meaningful information about current and projected campus budgets. While most of the university's budget information is available on the web, it is presented in a fragmented and scattered way. Statutory requirements that unit budgets be formulated in consultation with executive committees are inconsistently followed across the campus.

Recommendation 6: In order to promote greater budget transparency and improve shared governance:

- 1. The campus and university administrations should post budget data and annual reports in one or two web sites to provide easy access to information for governance bodies and for faculty generally. The Senate Budget Committee should work with these offices to help develop the preferred format, organization, and level of detail for such reports.**
- 2. The campus and university administrations should continue the practice of giving annual presentations to the Senate with budget details including but not limited to salaries, benefits, maintenance, supplies, operations, etc. The slides and materials should be available in advance, and these presentations should provide opportunities for live Q&A as well.**
- 3. The Senate Budget Committee should report each year to the full Senate its own detailed budget analysis and recommendations for future improvements.**
- 4. Since deans/directors/heads/chairs are required by the Statutes (Sections III.3.d(8)/IV.3.d.d./IV.2.d.) to “prepare the unit budget in consultation with” their advisory/executive committees, the Senate Budget Committee should communicate regularly with these college and department advisory/executive committees to ensure that this statutory requirement is being met.**

RENOVATION AND DEFERRED MAINTENANCE

As was the case at many American universities, the dramatic expansion of our campus’s gross square footage in the middle of the last century was not accompanied by a corresponding increase in funds for regular maintenance. As a result, by the beginning of this century it became clear that a staggering amount of maintenance had been systematically deferred. In 2002, the cost of deferred maintenance (DM) for our campus was estimated to be \$307M. The key metric in evaluating DM is the ratio of the DM to the current replacement value (CRV; the cost of rebuilding the campus from scratch); this ratio is called the facility condition index, or FCI. An FCI of 0.1 is generally considered the borderline between a well-maintained campus and a campus that is deteriorating.

In 2002, our campus FCI was estimated to be 0.15. By 2007, due to a continued lack of investment, the FCI rose to a staggering 0.235. Over the past several years, the campus has made a concerted effort to reduce the deferred maintenance backlog, through a combination of bonds, a student fee (AFMFA), and funds from the University Administration. As a result, by the end of 2012, the estimated FCI was down to 0.16. This is still higher than the 2002 value, although a direct comparison is complicated by definitional changes of what is counted in DM.

Nevertheless, the gap between our current FCI of 0.16 and the generally recognized target of 0.1 is about \$213M. At the present time, the only recurring funding stream dedicated to DM reduction is the AFMFA, which brings in about \$20M per year. A 2002

report recommended that our campus annually provide at least 1.2% of our CRV for deferred maintenance deficiencies; this would be \$43M per year, given our current CRV of around \$3.5B. However, this recommendation should be reevaluated to ensure that it remains appropriate.

We welcome the Chancellor's and Provost's recently announced plan to invest \$70M in renovating classrooms, a highly visible feature of our campus and one to which the AFMFA fee is rightly allocated. But laboratories, faculty offices, lounges, and meeting rooms also have a significant impact on the quality of faculty working conditions. The physical aesthetics of our campus are its public face to students, parents, alumni, and donors.

Recommendation 7: In order to prevent further deterioration of our campus, a realistic plan must be developed to bring our campus Facility Condition Index down to 0.1 within a period of several years. We recommend that the Senate Committee on Campus Operations work with Facilities and Services to better refine what level of annual investment will be required to achieve this objective. We recommend that the Senate Budget Committee and the Campus Budget Oversight Committee collaborate with the Chancellor's and Provost's offices to develop a strategy to fully fund the required expenditures. In any arrangement, it is important that new ways be found to ensure that campus operations and maintenance use resources effectively and efficiently.

PROMOTION AND TENURE (P&T)

Our review of the current campus procedures and policies regarding promotion and tenure decisions suggests that, in general, P&T committee members and executive officers weigh their decisions conscientiously and responsibly. This is particularly evident at the level of the campus. In 2006-07, the Provost charged a faculty committee to carry out an in-depth examination of these processes. The committee wrote an extensive report (<http://www.provost.illinois.edu/committees/reports/PromotionTenureReform.pdf>), recommending several changes to Provost's Communications 9 and 10, almost all of which have been implemented.

Our discussions have revealed some further areas in which Promotion and Tenure processes could be improved. A decision process that has such a great impact on the research and teaching profile of our campus, and that so strongly determines faculty career paths, must be functioning at the highest level, both in terms of procedural integrity and perceived fairness.

Our review of our Promotion and Tenure practices has been guided by an attention to how well they enact the principles of fairness, transparency, and consistency and predictability of process. We recommend that the following aspects of our P&T processes be reconsidered to bring them more closely in line with these principles, while preserving both the decentralized nature of our campus and established channels

of campus shared decision-making. Clearly, any alteration in our P&T policies or procedures should be implemented only after thoughtful and wide-ranging discussion. We hope that what follows will serve as a starting point for such discussions.

Variation in number of levels of review: In some small colleges, P&T cases are effectively given only one level of review before they are considered by the Campus P&T committee. On the other hand, cases originating in departments that belong to Schools housed within colleges must undergo three levels of review before arriving at the campus level, so that four separate P&T committees review the case.

Recommendation 8: In keeping with the principles of consistency and fairness, the wide range of levels of P&T review across campus should be reduced. We are not proposing any particular remedy, but, among other possibilities, we suggest exploring the merits of eliminating School-level reviews in cases in which Schools are embedded in Colleges, and of establishing a new committee to review cases from small colleges before they reach the campus level.

Varying levels (department or college, etc.) at which faculty members review P&T cases: Provost Communication 9 states clearly that no individual faculty member should participate actively (review, vote) on a case at two levels (department, college, campus). However, there is variation across campus in the level that is used for such participation. In some colleges, individuals must participate at the department level and are recused at higher levels. In other colleges, individuals can choose the level that they wish to participate. The lack of a policy regarding this aspect leaves us open to inequities, particularly when it is left up to the individual faculty member to decide at which level to vote. In this scenario, the committee member may make *ad hoc* strategic decisions about where his/her vote is likely to have most influence. Furthermore, colleagues may pressure the committee member to choose one level or another. This aspect, like every aspect of our P&T decision-making process, should be consistent and rule-driven rather than left up to individual choices.

Recommendation 9: Each college should formulate a consistent rule about the level at which faculty vote on P&T cases, make sure it is codified in its Bylaws, and apply it equally to all cases.

Lack of explicit procedures for off-cycle P&T reviews: When a unit wants to recruit a faculty member directly into a tenured position, an expedited P&T review is done at the department level and college levels, and then the case goes to the campus level for review. The methods of review at these various levels are less clear than those used for on-campus cases. We are not aware of any abuses of this practice, but it fosters the potential for such reviews to be less rigorous, and could allow for a disproportionate degree of administrative control over the decision.

Recommendation 10: Explicit policies specifying the parameters of off-cycle reviews, including, for instance, the composition of off cycle P&T committees should be formulated.

Clarifying appeals of tenure and promotion denials: The appeal path that is outlined in Communication 10 dictates that appeals of negative decisions will normally be taken back to the committee that originally issued that decision, even though it also stipulates that “on occasion...it may be advisable to convene a specially-constituted committee to consider the request for reconsideration.” Candidates who do not want their appeals to be returned to the committee that issued the denial may request that they be heard by “a specially-constituted committee,” but they must make “a compelling argument, in the written request for reconsideration, that a fair hearing cannot occur within the unit.” It is then up to the executive officer to decide whether or not to grant requests for consideration by a different committee, and to determine the composition of such a committee if the request is granted (See p. 7 of <http://provost.illinois.edu/communication/10/index.html>). While we are not aware of such requests having been rejected, we believe that the principles of fairness, transparency, and consistency would be better served if the campus adopted a more straightforward policy regarding these requests.

We believe that the appeals process outlined in Communication 10 would be both more efficient and more consistent if appeals were heard by the original committee only upon the candidate’s request; that is, if appeals normally were heard by a new committee. While we make no specific recommendation about whether such a committee should be a standing committee or a specially appointed one, we note that a process that relies on elected standing committees for appeals is more transparent and consistent than one that delegates these important decisions to a committee composed entirely of faculty members selected by the executive officer who will receive the appeals committee’s recommendation.

When an appeals committee separate from the original committee issues a recommendation to overturn a promotion or tenure denial, the executive officer must weigh two conflicting recommendations, each of which was made by a faculty committee. Both recommendations must be given serious consideration. If the executive officer accepts the recommendation to overturn the original committee’s decision, the original committee should be apprised of this decision, even though it need not approve it.

Recommendation 11: The campus should adopt the policy that appeals of tenure and promotion denials will be forwarded to a committee separate from the one that originally considered the case, unless the candidate requests otherwise. If such a policy is adopted, Communication 10 should be revised accordingly.

Communication 10 should also be revised: (1) to reconcile the multiple terms used to refer to appeals ("request for reconsideration," "appeal," grievance"); (2) to clarify that in the case of an appeal to a separate committee, both the original recommendation and that of the appeals committee need to be weighed carefully by the executive officer receiving them; and (3) to clarify that if the executive officer accepts an appeal committee’s recommendation to overturn a tenure or

promotion denial, the original committee should be apprised of this decision, although it need not approve it.

Lack of an appeals process for nonreappointment of specialized members of the academic staff who are not on the tenure track: We note that, while Communication 10 details a process for the nonreappointment of such employees, it provides no information on appeals procedures.

Recommendation 12: Consistent, campus-wide policies and procedures for appeals of nonreappointment of specialized academic staff should be developed and reflected in a Provost's Communication.

Improving the training for unit executive officers in the preparation of successful promotion and tenure materials: The Provost's Office provides robust guidance at the campus level for faculty members on the path toward promotion and tenure, which include workshops and retreats on teaching, on the tenure process, and on mid-career development, as well as competitive opportunities for released time to build research portfolios. Likewise, there are regular training opportunities offered at the campus level for department heads on preparing successful cases for promotion and tenure. Nevertheless, given the crucial place in the P&T dossier of the materials provided by the executive officers, we do not think this training should be voluntary or left to chance.

Recommendation 13: Training for unit officers in P&T processes, including the preparation of review letters, should be strongly encouraged by deans and emphasized in offer letters to new unit officers. We also suggest that the Provost's staff consider including presentations from the FAC Chair as well as the Chair of the campus P&T committee in these training sessions.

In general, we find that, at the college and department levels, more attention could be paid to the road leading up to P&T decisions. While some departments do an exemplary job at mentoring assistant professors, others do not. The production of a campus-level document to guide executive officers in the mentoring of their faculty would be helpful. (The 2006-07 Task Force also recommended the production of such a document.) Mentoring goes hand in hand with regular evaluation. Provost's Communication 21 mandates an annual review of every tenure-line faculty member, and stipulates that "each administrator who provides second-level review . . . is responsible for the evaluation of procedure(s) for faculty review in units reporting to that administrator every five to seven years."

Recommendation 14: The campus should provide departments and colleges with guidelines and best practices for mentoring of assistant and associate professors, and should strictly enforce the requirement of formal annual performance reviews for all faculty members.

FACULTY ADVISORY COMMITTEE (FAC)

Originally created by the Senate, the *Statutes* now provide that the Faculty Advisory Committee is composed of colleagues chosen through a campus-wide election. It provides guidance to faculty members on personnel matters, and serves as a formal faculty grievance committee once other avenues of appeal have been exhausted. Its annual report typically summarizes the number and types of consultations and grievance cases the committee has dealt with, as well as issuing recommendations on certain campus processes and procedures. All faculty members should be aware of this Statutorily-mandated campus resource.

Recommendation 15: We recommend that the annual report of the FAC be forwarded to the Senate as an information item, and that Communication 10 be revised to reflect the availability of this body to provide advice at any stage in the appeals process.

OTHER SHARED GOVERNANCE ISSUES

Many of the current practices on our campus supplement and enrich the more formal channels of decision-making through shared governance and support the professional development and well being of our faculty members. For instance, all new faculty members and all new deans are introduced to the structures and concepts of shared governance in their orientation sessions; the Provost's Office sponsors workshops on tenure and promotion for assistant professors, and on professional development for mid-career associate professors; and the Chancellor's Gender Equity Council is developing a series of initiatives to support female faculty members, including the establishment of a mentoring system. Faculty play active roles in our general campus planning, notably through the Campus Budget Oversight Committee, the annual Strategic Planning retreats, and regular meetings between elected Senate leaders and the Provost's leadership team (including the Provost).

The University Senates Conference, which includes elected faculty representatives from Urbana and the other two campuses, has played a central role in resolving some of the most dramatic governance crises of recent years, from the argument over the Global Campus to the controversies that resulted in two Presidential resignations. But university-wide governance has also worked with administration to identify and address areas of faculty concern. For example, it was in response to a request from the USC that the Humanities and Social Sciences (HASS) research accounts were first established. This program created funded research accounts for faculty in areas where the opportunity to write grants and earn ICR is limited, in order to provide them with funds that they control to support their scholarship and professional development. On our campus, this program currently serves about 350 faculty members in the arts and in the humanities. This year it is being increased from \$1000 per year to \$1500 per year.

The strength of these shared governance processes is itself a significant "market advantage" in recruiting and attracting faculty. Faculty want to be on a campus where

they can play an active role in policy and decision-making. They want to be on a campus where the relations of faculty and administration are amicable and constructive. It will become increasingly important to protect and develop these strengths in the face of the new challenges we can expect in upcoming years.

Balancing the need for responsiveness to time-sensitive opportunities with the requirements of careful deliberation and due respect for governance processes: Our shared governance deliberation structures were developed at a time when it was acceptable to take months or even years to approve new initiatives. There are several areas requiring review for which this can no longer be the case. The pace of change in technology, in funding opportunities, in the competitive landscape among peer institutions, and in the decisions of the State Legislature no longer allows our campus community the latitude to deliberate on certain matters over the course of many months. At the same time, careful, consultative decision-making, particularly about academic matters, is an integral part of our campus's culture, and must be maintained. We need to make decisions that are reflective but timely, that balance due processes of faculty review with the sometimes short time frame of external opportunities.

We are therefore faced with the imperative to develop new or supplementary processes for time-sensitive shared decision-making, or to make more frequent use of existing efficiencies. We are not proposing the adoption of any particular model, but possible avenues of more efficient and fair decision-making could include more extensive and frequent consultation between executive officers and unit Executive/Advisory Committees, the delegation of more direct authority to some Senate committees, clearer specification of the authority of the Senate Executive Committee to act on behalf of the Senate under exceptional circumstances, and/or the formalization of regular consultation meetings between campus administrators and elected faculty leaders. Such processes must always respect the principles of transparency, accountability, and democratic faculty participation that are at the heart of our system of shared governance.

Recommendation 16: The Seventh Senate Review Commission should give serious consideration to how the decision-making processes of the Senate and its committees can be modified to make them more efficient while maintaining transparency, accountability, and democratic participation.

Ensuring that program and unit changes occur according to due process: It is important to distinguish between changes to academic programs and changes to academic units. There are different, but clearly-marked, procedural paths for consideration of proposals for both kinds of changes.

Given the budgetary situation of the State and of the university, all indications are that some decisions about unit restructuring, consolidation, and program modification will be necessary moving forward. These decisions must always preserve a commitment to our core academic mission, even if they are triggered by an awareness of the need to respond to new fiscal realities. The faculty members constituting the Campus Budget

Oversight Committee already play a key role in decisions about resource allocation and academic strategic planning.

The University *Statutes* stipulate that, in proposals for changes to academic units, “the advice of each unit involved shall be taken and recorded by vote of the faculty by secret written ballot in accordance with the bylaws of that unit” (Article VIII, section 4 (<http://www.bot.uillinois.edu/statutes>)). Our campus’s Senate Standing Rule 13 supplements that mandate with a more detailed process. We are not aware of obvious violations of the procedures outlined in Statutes VIII.4 and Standing Rule 13 since their adoption.

However, one area in which substantial changes to academic units have occurred is through the transfer of faculty members out of one unit and into another. There is a continuum between individual faculty transfers, which can happen any time and for many reasons, and explicit program elimination or mergers. In practice, a series of the first type of decision can *de facto* result in the latter; therefore, administrators should err on the side of greater consultation than might be formally necessary in situations where the *de facto* result is a real possibility. Academic program eliminations or mergers are a fundamental concern of faculty governance and oversight, whether they happen gradually or all at once, whether *de facto* or intentionally.

Recommendation 17: Include language in the Campus Administrative Manual, or in a Provost’s Communication, establishing general principles about when faculty transfers from unit to unit might be desirable, the appropriateness of prior consultation with faculty in all units affected by these transfers, and guidelines for handling the budgetary implications of such transfers.

Maintaining a tone of mutual respect between faculty and administrators at all levels of the campus, and seeking to ensure that the processes of shared governance are fully implemented at each of those levels: It is crucial that these two aims be seen in relation to each other. It is easy to think that respect and trust are merely interpersonal matters of feeling and personality, as opposed to the rule-governed processes and procedures of governance. In fact, each of these depends on the other, and it is the responsibility of all those who value shared governance and effective administration to maintain a healthy environment between faculty and administrators.⁴

For example, deviations from proper procedures, or adhering to them only at the most superficial, token level, fosters mistrust. But a lack of respect or trust, in either direction between faculty and administrators, undermines the functioning of proper procedure. Conversely, an administrator’s demonstration of a consistent commitment to transparency and engagement fosters trust, and earns credibility with faculty even when the workings of procedure are difficult or complex.

⁴ Of course, most senior administrators are also faculty.

The maintenance of a tone of mutual respect is fundamental to successful navigation of the entire range of issues addressed by this Task Force. Indeed, maintaining mutual respect provides the oxygen on which shared governance depends. In general, when there are regular interactions between faculty and administrators in small-group settings, such as those participated in by the Senate leadership, relations can be respectful, cordial, and productive. For example, many Senate committees include administrators as *ex-officio* members; the Chancellor and Provost consult regularly with Senate leaders and are present at SEC meetings; the Chancellor, Provost, and other administrators attend Senate meetings; and the Chancellor is available for questions on any matter at both the SEC and Senate. Such regular meetings and consultations need to be standard practice at all administrative levels of the campus.

Recommendation 18: Broad sharing of information and knowledge of campus and university policies among both faculty and administrators contributes to productive exchanges with greater collegiality and less conflict. Thus, it is important that information about our policies and procedures be easily accessible to all and that there be open, respectful conversations about instances where existing procedures and policies have had less than optimal results.

APPENDIX A: BURBULES/McCARTHY LETTER TO THE SENATE

April 29, 2013

Dear colleagues,

A few months ago we stood on opposite sides of the lectern, presenting opposing views to the Senate on the pros and cons of faculty unionization. We haven't changed our views on those differences, but today we stand together, and we ask our colleagues to stand with us in addressing some of the basic challenges facing our campus.

In the end, the issue isn't unionization: it's how best to make progress on solving these issues. Some think unionization is part of that solution; others do not. But the two of us agree that whatever is done must be done together to face the large budgetary, legislative, and institutional challenges confronting us. We want to change the focus to what we agree about, and what can be done about working on these shared concerns within existing governance structures and relationships.

To this end, we want to see the conversation move from a divisive debate to a problem-solving orientation. We ask our Senate colleagues for support and we call upon the Senate leadership and campus administration to work with us in making progress on these matters.

We believe that the most important issues of concern to faculty campus-wide include the following:

1. Addressing salary disparities between faculty on this campus and at peer institutions, and addressing salary inequities that may exist within this campus.
2. Working with the other campuses of the University of Illinois and other universities across the state to protect faculty pension and health care programs and to promote new policies to put these programs on a sustainable financial footing.
3. Identifying and resolving any unfair practices in the tenure review process, and balancing appropriate faculty and administrative roles in that process.
4. Reviewing our family leave practices, and benchmarking our policies against those of peer institutions.
5. Developing consistent policies for budget review at all levels of campus, from departments up to the campus and university levels, which ensure that statutory faculty rights are part of the budgetary process and protected at each of those levels.
6. Ensuring that the desire to make the campus responsive to new opportunities does not come at the expense of transparency, appropriate consultation and review by

authorized governance bodies, and careful deliberation about the merits of those initiatives.

7. Guaranteeing that during any process of academic program and financial re-evaluation, which may involve program reductions, there is no short-circuiting of due process or the rights of faculty.

8. Developing a realistic plan to address deferred maintenance issues on the campus over the next several years, including long overdue classroom, laboratory, and office renovations.

9. Protecting, and perhaps expanding, the tuition waiver guarantees to faculty, which remains a crucial benefit.

10. Maintaining a tone of mutual respect between faculty and administration at all levels of the campus, and seeking to ensure that the processes of shared governance are fully implemented at each of those levels.

We recognize the realities of difficult budgets and uncertain state funding, and none of these issues can be solved overnight. But we invite our faculty colleagues, Senate leadership, and administrative leaders to join us in a shared focus on pragmatic problem-solving.

We hope that we can begin a discussion now and through the summer that seeks concrete strategies for addressing the issues recounted here. We leave it to Senate leadership and the Executive Committee to define a process for doing so. We expect that by Fall this process will result in a public report that lays out specific plans for moving forward on each of these concerns.

We all want a better campus for ourselves, our staff colleagues, and our students. Let's focus together on how to do that.

Nick Burbules
Randy McCarthy

APPENDIX B: S.E.C. CHARGE LETTER TO THE TASK FORCE

June 5, 2013

Jeff Brown Nick Burbules, GUP Adrienne Dixson, Budget Kim Graber Harry Hilton, EQ Eric Johnson, AFT Prasanta Kalita, CoC John Kindt, Benefits Bill Maher, USSP Ben McCall, Campus Ops Randy McCarthy Joyce Tolliver

RE: Committee(s) to Develop Plans for “10 points to Consider”

Dear Colleagues:

I am writing to ask you to serve as members of a task force to review the “10 points to consider” document presented at the April 29, 2013 Senate meeting (attached). The committee includes the chairs of the several key Senate committees that deal with matters related to these concerns. This will allow them to consult with their committee members over the summer, though these committees do not normally meet. Over the summer this committee will meet regularly with representatives of the administration to discuss current and proposed initiatives that respond to the ten items listed in the Senate document with a report to be provided to the SEC and the full Senate in the fall. Given the size of the committee, it may decide to divide into two or three smaller committees, to allow each to focus in depth on a subset of the issues, and work on more than one in parallel.

One possible outline for organizing the document would be to have a section for each issue:

- The nature of the problem(s)?
- What is currently being done to address them?
- What new initiatives are being proposed to address them?

Because of the delicate nature of these discussions, conversations and draft documents should be kept confidential until there is a complete draft acceptable to all parties, which will be submitted to the full Senate for review in the fall. These meetings deal with personnel matters, and so will not be subject to OMA.

The target date for a completion of a draft document should be **Sept 9, 2013**, in time for the SEC to put this item on the first Senate meeting of the new academic year. In the fall the appropriate Senate Committees will also be engaged as necessary.

The Steering Group will consist of Roy Campbell, Kim Graber and myself. The Steering group will meet with the whole committee initially and then as needed. Jenny Roether from the Senate Office will either provide or assign staff support for these committees. At the first meeting we will determine if the following break out committees make sense for the tasks at hand.

Potential Committee(s) to Develop Plans for “10 points to Consider”

- 1) Committee on Budget and Related Issues (Items 1, 5, & 8) Adrienne Dixson, Budget
Ben McCall, Campus Ops Randy McCarthy Harry Hilton, D&I
- 2) Committee on Benefits (Items 2, 4 & 9) John Kindt, Benefits Kim Graber Nick
Burbules, GUP Jeff Brown
- 3) Committee on Academic Issues and Governance (Items 3, 6, 7 & 10) Joyce Tolliver
Eric Johnson, CAFT Prasanta Kalita, COC Bill Maher, USSP

In conducting your review, we ask that the task force review reports/documents and consult experts within the units and related units as well as internal and external stakeholders who will have valuable insights on these issues.

We very much appreciate the commitment you are making on behalf of the SEC, Senate and Campus to serve on this important committee. If you have any questions please let me know.

Sincerely yours,

Matthew B. Wheeler, Chair Senate Executive Committee

cc: Roy Campbell, Kim Graber