

**ASPT Revisions Approved by the
Academic Senate Faculty Caucus**

Revisions Posted to the Provost's Website May 5, 2011

**Revisions will be integrated to the ASPT Policies and
Distributed August 2011**

*Article XIV Effective Immediately
All Other Revisions Effective January 1, 2012*

* * * * *

II. University Review Committee (URC)

A primary responsibility of the URC is to formulate, and at five-year intervals and on an as-needed basis, revise the Illinois State University ASPT document. If necessary, the URC will forward appropriate recommendations for revision of these policies and procedures to the Academic Senate. Unless otherwise provided, revisions of these policies shall be effective as of January 1 of the year following approval by the Faculty Caucus of the Academic Senate. The URC reviews and approves college standards at five-year intervals and on an as-needed basis. The URC considers Department/School policies and procedures only at the request of the appropriate Dean or DFSC/SFSC. It does not consider individual cases. In order to fulfill this primary function, the URC shall receive annual reports from each College Faculty Status Committee (see IV.D.) and from the Faculty Review Committee (see III.F.).

* * * * *

IV. College Faculty Status Committee (CFSC)

A. Membership of the CFSC:

1. Each College shall have a CFSC that comprises three to six faculty members (as defined on p. 1) whose locus of tenure is within that college and the Dean, who is an ex officio voting member and Chairperson of the Committee. All members of the committee must hold tenure. Members shall be elected at-large by the faculty (as defined above) of the College for staggered two-year terms. In those Colleges having six or more departments/schools, no Department/School shall have more than one representative. In no event shall one Department/School have more than two representatives. CFSC Guidelines must specify whether CFSC members may participate in, be present at, or vote in ASPT deliberations (including appeals) involving individuals from their own departments/schools.

* * * * *

IV. College Faculty Status Committee (CFSC)

E. CFSC College Standards:

1. With appropriate faculty input, each CFSC shall develop brief College Standards that identify requirements unique and special to the mission of the College and its faculty. College Standards shall be limited to qualitative statements linked to the guidelines for teaching, scholarly and creative productivity, and service (see Appendix 2). College Standards shall not contain numeric thresholds or ranking of criteria for measuring performance of faculty. College Standards are appended to the ASPT document and are subject to review by the University Review Committee every fifth year. The College Standards shall be approved by a majority vote of the departments/schools within each College. Each department/school shall have one vote, representing the majority vote of the department/school faculty eligible to vote according to ASPT policy. Colleges through their CFSCs may propose reasonable and modest revisions to their Standards during the interim. These Standards or recommended revisions to them shall be submitted to the URC by May 1.

* * * * *

V. Department/School Faculty Status Committee (DFSC/SFSC)

A. Membership of the DFSC/SFSC:

1. Except as noted in V.A.4., each Department/School shall have a DFSC/SFSC that comprises at least three faculty members (as defined on p. 1) whose locus of tenure is within that Department/School and the Chairperson/Director of the Department/School, who is an ex officio voting member and Chairperson of the Committee. The majority of the elected committee members must be tenured, except as noted in V.A.4. Department/School policies shall not preclude the election of probationary faculty members to the DFSC/SFSC. Faculty members of the DFSC/SFSC shall be elected by Department/ School faculty members (as defined above) for two-year staggered terms. Election procedures shall be submitted by each Department/School to the CFSC for approval. For ASPT purposes, the faculty members of the Milner Library and the Mennonite College of Nursing subject to the ASPT system shall each elect a DFSC/SFSC.

* * * * *

V. Department/School Faculty Status Committee (DFSC/SFSC)

C. DFSC/SFSC Responsibility for Review of Departmental/School Faculty:

1. The DFSC/SFSC shall be responsible for conducting pre-tenure reappointment reviews. A pre-tenure reappointment review is an evaluation of a probationary

faculty member's professional activities and performance that culminates in a recommendation with regard to whether or not the probationary faculty member shall be reappointed for the coming year. Pre-tenure reappointment reviews shall be conducted annually until such time as the faculty member has been recommended for tenure in the University or has been given a notice of nonreappointment.

2. The DFSC/SFSC shall be responsible for conducting summative reviews of evaluations of a faculty member's professional activities and performance for purposes of determining performance-evaluated salary increments, formulating recommendations for promotion and tenure, for completion of post-tenure review and for dismissal.
 - a. A performance evaluation review shall be conducted every year to determine the size of performance-evaluated salary increment to be awarded for the coming year (see XII.).
 - b. A promotion or tenure review shall be conducted as a necessary step in the formulation of a written recommendation concerning promotion and tenure. This review shall support a Departmental/School recommendation concerning promotion or tenure and be completed, with the approval of the DFSC/SFSC, only at the time an individual is considered for promotion or tenure. A faculty member's academic department/ school may initiate recommendations with respect to promotion in rank, regardless of the allotment of a faculty member's time. After serving the minimum period of time at a particular rank, a faculty member may also request consideration for promotion and provide the documentation supporting the request (see IV.C.2.). A faculty member's academic department/ school initiates review for tenure (see IX.B.4.). Departments/schools are encouraged to recommend early tenure only in unusual circumstances.
 - c. In compliance with Board of Trustees Policies, a post-tenure review shall be conducted for each tenured faculty member after the date of the faculty member's achievement of tenured status. Cumulative post-tenure performance evaluation policies, procedures, and criteria shall be part of DFSC/SFSC policies. Cumulative post-tenure review responses written by the DFSC/SFSC should reflect annual evaluations of the faculty member during the review period. The Provost's Office shall have access to cumulative post-tenure evaluation policies, procedures, and criteria and to the results of cumulative post-tenure evaluations on a yearly basis (see X.).
 - d. In support of any of these evaluative activities, the DFSC/SFSC shall collect information from each faculty member that includes, but shall not be limited to, systematically gathered student reactions to teaching performance. The anonymity of students shall be preserved as far as possible. Anonymous communications (other than officially collected student reactions to teaching performance) shall not be considered in any evaluative activities.

VI. Appointment Policies

- A. Department/school search committees, in accordance with established department/school policy, are responsible for the recruitment of potential faculty members. Search committees should be appointed pursuant to department/school, college, and University policies. Recommendations for appointment of new faculty members originate with the department/school search committee according to established department/school policy.
- B. All tenured and tenure-track faculty members shall be given an opportunity to review candidates' credentials. All tenured faculty members shall be given an opportunity to respond to the proposed appointment on the Recommendation for Academic Appointment form. Initial appointments of probationary or tenured faculty members shall ordinarily have the approval of the majority of all DFSC/SFSC members and the majority of the tenured faculty members of the Department/School. Ordinarily, faculty are appointed on a probationary basis (see IX.) but on occasion can be appointed with tenure.
- C. The Department/School Chairperson/Director shall forward to the College Dean recommendations for appointment on the Personnel Action Form provided for that purpose. The appointment form shall designate whether the appointment is probationary or non-tenure-track, specify the rank, salary, and, for a probationary appointment, the probationary period after which the person who is being appointed must be considered for tenure (see IX.).
- D. The Dean shall review the Recommendation for Academic Appointment form and request additional signatures if the Dean considers them necessary. The Dean may, with the approval of the Provost, reduce the number of signature requirements as necessary to expedite specific decisions. Such action shall be reported to the DFSC/SFSC.
- E. The Dean shall have the responsibility of recommendations to the Provost for appointments of personnel within the College.
- F. The Department/School Chairperson/Director or a designee shall personally interview all candidates for tenure-eligible positions, and all candidates for appointments with tenure shall visit the campus so that they may interact personally with Department/School faculty members.
- G. The Department/School search committee is responsible for checking relevant references prior to making a recommendation. The Chairperson/Director and Dean, in consultation with the DFSC/SFSC, will recommend salary and rank. The Provost must approve appointments, salary, and rank for all faculty members.
- H. If a position involves duties in more than one Department/School or area, the recommendation and appointment shall originate in the major Department/School, only after consultation among the supervisors of all Departments/Schools or areas in which the person appointed shall serve. Cooperative interviews are encouraged. The written appointment form shall include the signature of the administrative officer of the minor Department/School or area and shall be accompanied by a written agreement stating the

terms of employment signed by both the administrative officers of the major and minor Departments/Schools or areas. Copies of these written agreements shall be kept in the Department/School office and in the Office of the Dean.

- I. A letter of intent shall issue from the Department/School upon final approval setting forth all of the essential terms of employment for the prospective faculty member and providing the candidate with information regarding department/school, college, and university policies. The letter of intent should be approved by the relevant college dean and the Provost. Employment will not begin until an appointment contract is issued by the University.

* * * * *

VII. Faculty Assignments and Faculty Evaluation

- A. Faculty assignments are integral to the mission of a department/school and thus of the University. Each faculty assignment represents the part that the faculty member will play during the coming academic year in carrying out that mission. Faculty assignments shall embody the principles of consistency and flexibility. Because the University expects from all faculty consistent high-quality performance in the mutually supportive areas of teaching, scholarly and creative productivity, and service, faculty assignments shall be designed not to inhibit faculty members from contributing in all three areas over their term of employment. Appropriate effort shall be made to achieve flexibility in faculty assignments so that the changing needs of the University are recognized and so that, by giving faculty members the latitude to explore academic and professional opportunities as they arise, faculty contributions to the University can be maximized. Faculty assignments may differ from person to person in a given year, and an individual faculty member may complete several types of assignments during the course of several years.
- B. The Chairperson/Director shall communicate to all faculty members in writing and in a timely manner courses they are expected to teach and whether the Department/School will allocate to them reassigned time for the completion of activities that do not involve direct classroom instruction.
- C. Faculty assignments within a department/school shall be defined in writing so that faculty members understand the nature of their assignments for the coming year. In the performance evaluation of faculty members, the DFSC/SFSC shall recognize that individual efforts and activities elicit different types of productivity and that the quality and thoroughness of work done by a faculty member in completing an individual assignment constitute the criteria on which performance evaluation decisions and summative reviews may be based.
- D. Prior to Departmental/School performance evaluations, faculty members shall provide to the DFSC/SFSC activities reports specific to their assignments. Department/School ASPT Guidelines should provide guidance regarding the format and content of activities reports. Electronic submission of activities reports is encouraged and may be required by DFSC/SFSC Guidelines. Items that are difficult or impossible to document electronically may be submitted directly. Reports are due by January 5 of each year.

- E. Departments/schools must develop guidelines for what constitutes overall “satisfactory” and “unsatisfactory” performance. The term “satisfactory” is defined as meeting or exceeding minimum expectations as defined within Department/School Guidelines. The annual performance evaluation process shall include (1) an annual assessment of a faculty members’ performance in teaching, scholarly and creative productivity, and service; (2) a separate interim appraisal of the faculty member’s progress toward tenure and/or promotion, if applicable; and (3) an overall evaluation of the faculty member’s performance in the evaluation period as either “satisfactory” or “unsatisfactory.” Departments/Schools may choose to provide separate assessments of faculty performance in each evaluation category (teaching, scholarly and creative productivity, and service) as either “satisfactory” or “unsatisfactory,” but must provide an overall assessment as well.

- F. Departments/Schools shall provide a detailed letter including intended recommendations and overall assessment to each faculty member at least 10 working days before submitting these recommendations to the CFSC and provide opportunity, if requested, for the faculty member to meet informally with the DFSC/SFSC or for a formal meeting. Formal meetings with the DFSC/SFSC are required prior to an appeal to the CFSC. Requirements for formal meetings and appeals are found in Section XIII G. Intended recommendations will become the final recommendation at the end of ten working days unless additional information is discovered or unless the Department/School changes its recommendation following an informal or formal meeting with the faculty member.

* * * * *

VIII. Promotion Policies

- D. A Department/School may require that peer evaluators, external to Illinois State University, review the credentials of each faculty member who is a candidate for promotion. If peer evaluation is part of a Department/School's promotion review process, this fact must be stated in the Departmental/School policies and procedures document. Department/School guidelines must expressly state whether or under what conditions written evaluations will be considered without a waiver of confidentiality by the evaluator. Departments/Schools using external evaluators shall provide to the evaluators Department/School, College, and University mission statements and a written description of the candidate's assignment of efforts and activities for the entire timespan being evaluated. The written evaluations of external evaluators shall be available to the DFSC/SFSC, CFSC, FRC, Provost and President as part of their deliberations on promotion. Written evaluations shall not be made available to the candidate for promotion unless the evaluator has given prior written permission pursuant to 820 ILCS 40/10.

* * * * *

IX. Tenure Policies

- D. Procedural Considerations Related to Tenure
 - 3. A department/school may require that peer evaluators external to Illinois State University review the credentials for each faculty member who is a candidate for tenure. If peer evaluation is part of a department/school's tenure review process, this fact must be stated in the departmental/school policies and procedures

document. Department/School guidelines must expressly state whether or under what conditions written evaluations will be considered without a waiver of confidentiality by the evaluator. Departments/Schools using external evaluators shall provide to the evaluators Department/School, College, and University mission statements and a written description of the candidate's assignment of efforts and activities for the entire timespan being evaluated. The written evaluations of external evaluators shall be available to the DFSC/SFSC, CFSC, FRC, Provost, and President as part of their deliberations on tenure. However, those written evaluations shall not be made available to the candidate for tenure unless the evaluator has given prior written permission, pursuant to 820 ILCS 40/10.

* * * * *

XI. Termination of Appointment of Probationary and Tenured Faculty

A. Probationary Faculty:

1. A recommendation for the nonreappointment of a faculty member during the probationary period must follow the regulations of the Board of Trustees. Recommendations for nonreappointment prior to a tenure decision shall be made by the DFSC/SFSC in consultation with the Dean and the Provost. The Chairperson/Director of the DFSC/SFSC shall communicate the recommendation of nonreappointment in writing to the faculty member, the Dean, and the Provost. Nonreappointment can also be the result of a negative tenure recommendation. Official notices of nonreappointment, whether issued prior to a tenure decision or as a result of a negative tenure decision, are issued from the Office of the Provost.
2. Notice of termination shall be given not later than March 1 of the first academic year of service; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination; not later than February 1 of the second academic year of service; or, if the appointment terminates during an academic year, at least six months in advance of its termination; at least twelve months before the termination of an appointment after two or more years of service.

* * * * *

XII. Performance Evaluation Policies and Salary Incrementation Procedures

A. General Procedures:

1. Each year, after consultation with the President, the Provost shall make known to the faculty the amount of funds available to the ASPT system. All salary increase funds shall be distributed through the ASPT system. The Department/School's ASPT funds shall never be less than 90 percent of the tenured and probationary faculty members' proportionate share of any salary

increase. The Provost determines the distribution of the remaining personal service funds to raise-eligible faculty.

2. The Provost shall allocate at a minimum 90 percent of the salary funds directly to Departments/Schools for salary increments through the ASPT. The equivalent allocation to each Department/School shall be proportional as a percentage of base salary for each raise-eligible faculty member within the Department/School. These salary increments shall take the form of (1) standard increments payable to all raise-eligible faculty members who receive overall satisfactory performance ratings and (2) performance-evaluated increments that recognize contributions made by particular faculty members.
 - a. Faculty members with overall unsatisfactory performance shall receive no incremental raise.
 - b. Twenty percent of each Department/School's allocation shall be distributed as a standard increment. Standard increments shall be payable as an equal percentage of base salary to all raise-eligible faculty who receive at least minimum overall satisfactory performance ratings.
 - c. Eighty percent of each Department/School's allocation shall be distributed as performance-evaluated increments to faculty members based on established Department/School policies for salary adjustments. Performance-evaluated increments shall recognize equity, and short-term and long-term contributions made by particular faculty members and shall be payable to raise-eligible faculty members.

3. Following completion of the performance evaluation process under Section VII, and all appeals resulting from it, each CFSC shall deliver to the Provost its recommendations for performance evaluation of faculty members. The CFSC shall include a copy of the DFSC/SFSC's original recommendations.
4. The Provost shall receive and approve recommendations from the DFSC/SFSC and CFSC, with consideration of the reports regarding performance-evaluation appraisals and salary increments based on the requirements. A summary of these recommendations shall be submitted by the Provost to the President and the Academic Senate. The University Review Committee shall receive a general report of recommendations made by DFSC/SFSCs and CFSCs (see II.E.).
5. Salary increments shall be paid to individuals promoted from Assistant Professor to Associate Professor (\$3000/yr minimum) and from Associate Professor to Professor (\$5000/yr minimum) with the effective date of the promotion. The Provost may increase the minimum amount.
6. The Provost shall notify faculty members of their new salaries (subject to necessary approval of the University's appropriation request by the General Assembly and the Governor).

B. Department/School Procedures:

1. Departments/Schools are encouraged to recognize in their summative reviews for performance evaluation the variety of activities of individual faculty members. These activities are illustrated generally in Appendix 2: University Guidelines and Criteria for Faculty Evaluation. Following appropriate faculty input, each DFSC/SFSC shall develop two sets of Department/School policies and procedures: (1) for appointment, reappointment, performance-evaluation, promotion, tenure, and post-tenure reviews, and (2) for the allocation of monies devoted to salary equity adjustments and performance-evaluated salary increments. Both sets of policies and procedures shall be submitted for approval to the appropriate CFSC (see V.B.1-2.), but only after they have been approved by a majority vote of the Department/School faculty. After they have received CFSC approval, the Department/ School Chairperson/Director shall distribute them to each faculty member in the department/school.
2. The materials upon which faculty members are evaluated shall include student reactions to teaching performance.
3. Each DFSC/SFSC shall conduct annual performance evaluations of each faculty member subject to the ASPT system under Section VII.
 - a. During the annual performance review, the DFSC/SFSC shall consider activities performed (or reaching completion) during the calendar year being evaluated but give due attention to long-term contributions made by particular faculty.

- b. Each faculty member shall be assigned a performance-evaluated increment based upon activities completed during the evaluation year but also on long-term faculty contributions.
 - c. The Department/School policies and procedures for appointment, reappointment, performance-evaluation, promotion, tenure, and post-tenure reviews shall explain clearly the procedure for electing DFSC/SFSC members.
4. If a faculty member has formal assignments in two or more Departments/Schools or areas, each Department/School or area shall assume responsibility for performance evaluations and salary recommendations reflecting the extent of participation in the Department/School or area. The Department/School in which the faculty member holds rank shall be responsible for the final evaluation of the faculty member with regard to promotion and tenure with consideration of the other Department/School or area's evaluation of the faculty member. Each year, the Provost shall specify the percentage distribution for salary recommendation for individuals having split assignments and shall notify the individuals and administrative units concerned. Salary increment funds shall then be distributed in accordance with these determinations.
 5. Each DFSC/SFSC shall notify each faculty member annually in writing of the faculty member's performance evaluation and of any recommended change in rank and/or tenure status. This letter shall provide an assessment of the faculty member's strengths and weaknesses and, when applicable, progress toward achievement of promotion and/or tenure.
 6. Persons evaluated as having overall unsatisfactory performance² shall be informed in writing of the reasons that these ratings were given.
 7. Following completion of appeal hearings held by the CFSC, each DFSC/SFSC shall submit to the Dean a final list of faculty evaluations.
 8. Each year, after the salary increment process is complete, the Department/School Chairperson/Director shall provide to each faculty member the components of the salary increment process (standard increment, performance-evaluated increment, equity adjustment, promotion increment, other adjustments) and the number of salary increment dollars awarded to each component for the respective faculty member.
 9. Each year, after the salary increment process is complete, the Department/School Chairperson/Director shall provide to each faculty member the Department's/School's aggregate number of salary increment dollars awarded to each salary increment component including standard increment, performance-evaluated increment, equity adjustment, promotion increment, and any other adjustment.

XIII. Appeals Policies and Procedures

- A. Illinois State University encourages the fair and equitable resolution of appeals. Informal resolution of issues is encouraged at the DFSC/SFSC and CFSC levels prior to formal meetings and/or appeals. Time requirements and deadlines for filing appeals and for other processes are found in Appendix I to these Policies.

- B. The Nature of Formal Meetings with DFSCs/SFSCs and CFSCs
 - 1. A formal meeting with a DFSC/SFSC or CFSC is a preliminary step in all appeals. A formal meeting must be requested by a faculty member following a negative recommendation by the DFSC/SFSC or CFSC for promotion and/or tenure prior to appeal to the Faculty Review Committee (FRC). A formal meeting with a DFSC/SFSC must also be requested by a faculty member prior to an appeal of a recommendation for performance evaluation or post-tenure review to the CFSC.
 - 2. Formal meetings must be requested by the faculty member in writing within 5 business days of receipt of the recommendation. Faculty members must state clearly in the written request their reasons for the meeting.
 - 3. All formal meetings with a DFSC/SFSC or CFSC will be conducted in accordance with XIII D.

- C. Definition of Appeals:

An appeal is here defined as a written statement by a faculty member that explains why a faculty member believes that there has been a misinterpretation, misjudgment, or procedural error relating to a promotion, tenure, or performance evaluation recommendation concerning that faculty member.

- D. Procedures Common to Formal Meetings and all Appeals before the CFSC:
 - 1. Faculty members must be afforded a reasonable time to present arguments. The faculty member who believes that relevant factors or materials have been ignored or misinterpreted shall be entitled to present arguments and supplement his or her materials before final recommendation by the DFSC/SFSC or CFSC. Information not originally presented in applications for tenure/promotion or annual evaluation materials may be considered at the discretion of the DFSC/SFSC or CFSC.
 - 2. Faculty members may be accompanied by a faculty advocate. The advocate may be present to advise the faculty member only and not to address the committee. Although witnesses to specific facts or occurrences or to provide perspective regarding teaching, scholarly or creative productivity or service will not ordinarily be necessary, faculty members will be allowed a reasonable number of witnesses. The DFSC/SFSC or CFSC shall have the discretion to limit the number of witnesses at a formal meeting or appeal hearing.

3. Formal meetings or appeals hearings with the CFSC will be closed to all but the DFSC/SFSC and CFSC, the faculty member, and the faculty advocate. The faculty member shall be provided, if requested by the faculty member, a meeting with the CFSC without members of the DFSC/SFSC present. Subsequent to that meeting the CFSC shall meet with the DFSC/SFSC. Students shall be called as witnesses only in extraordinary circumstances.
4. Formal rules of evidence as required in a court of law will not be followed. Reasonable time should be allowed for formal meetings or appeals hearings.
5. Following the formal meeting or appeal hearing, the DFSC/SFSC or CFSC will meet to reconsider the earlier decision and will promptly issue a communication either (a) affirming the prior recommendation or (b) changing the prior recommendation. If changes to the prior recommendation are made, no reference will be made to the nature of the prior recommendation. The faculty member will be notified in writing of the decision promptly and informed of any further rights of appeal.

E. The Appeals Process:

1. Any negative promotion and/or tenure recommendation by a DFSC/SFSC or CFSC may be appealed. Appeals from the DFSC/SFSC to the FRC may take place only after the decision by the CFSC is made final, and then on the same appeals schedule as appeals from the CFSC. The appeal procedure is outlined in XIII.D.
2. Performance evaluations may be appealed to the CFSC only. (See XIII.H.).
3. Separate Dean or Chair/Director reports may be appealed to the FRC on the same appeals schedule as appeals from the CFSC.
4. Minority reports, unless the appellant alleges that violations of ethics or academic freedom have occurred, are not subject to appeal.

F. The Nature of Promotion or Tenure Appeals:

1. The system that governs the appeal process in cases involving promotion and tenure recommendations is based on the following points:
 - a. The DFSC/SFSC, CFSC, Provost, and Faculty Review Committee (FRC) may each formulate recommendations regarding promotion and tenure. Only the President, as designated by the Board of Trustees, has the authority to render a University decision.
 - b. A faculty member may request that the FRC formulate its additional recommendation if a negative recommendation has been forwarded by the DFSC/SFSC or CFSC.
 - c. All recommendations (DFSC/SFSC, CFSC, Provost, and FRC) are forwarded to the President for consideration.

2. If a faculty member wishes to request an appeal of a negative recommendation by the DFSC/SFSC or CFSC with respect to promotion or tenure, he/she may direct the request to the FRC. The faculty member should refer to the Academic Freedom, Ethics and Grievance Committee (AFEGC) any allegations of violation that fall within that committee's jurisdiction.
3. If the FRC believes that the basis of the appeal is an academic freedom or ethics violation question, the FRC may suspend its proceedings until it receives the report from the AFEGC. However, if the FRC does not receive a report from the AFEGC in time to fulfill the reporting obligation according to the calendar (see Appendix I.,B.) the FRC shall forward an interim report. Likewise it may address itself to other issues raised in its own review and issue an interim report.
4. Upon completion of AFEGC hearings, if any, reports of the AFEGC, in addition to being processed as outlined in the procedures of the AFEGC, shall also immediately be forwarded to the FRC and shall become a permanent part of the FRC report. If, in the judgment of the AFEGC, a violation of academic freedom has occurred, the FRC must decide whether the violation significantly contributed to the decision to deny promotion or tenure. The FRC shall then complete its deliberations and forward its complete report and recommendation.

G. Initiation of a Promotion or Tenure Appeal:

1. In the case of promotion or tenure recommendations, the faculty member shall notify the Chairperson of the FRC in writing of an intention to appeal. This notification must be given within five (5) business days (days when University offices are open to the public) of the date that the faculty member received official notification of the CFSC recommendation. The Chairperson of the FRC shall respond to the faculty member within five (5) business days following the receipt of a written intent to request additional review.
2. The Chairperson of the FRC shall notify the appropriate college and department/school faculty status committees and the Provost of a faculty member's request for an appeal. The FRC shall initiate consideration of an appeal as expeditiously as possible.
3. The FRC in promotion and tenure cases must receive from the faculty member written information supporting the request for an appeal. This information shall also be made available to the DFSC/SFSC and CFSC. The faculty member may request appropriate information regarding the case. This information shall include any official document used to support a decision regarding a faculty member.
4. In order to effect a just and efficient appeal, the FRC shall be provided any documents used by the DFSC/SFSC or CFSC in the process of making recommendations. The FRC may request the parties to the review to appear in person. The FRC may deny an appeal where there is no evidence that a substantial basis for an appeal exists.

5. An FRC recommendation shall be based on a majority vote of the members of the committee. The FRC shall report the recommendation to the faculty member, the appropriate DFSC/SFSC, CFSC, the Provost, and the President (see XIII.E.3. and Appendix I.B.). The Provost and President shall consider this recommendation in making a decision.

H. Initiation of a Performance-Evaluation Appeal:

1. A summative recommendation for a performance-evaluation review of a faculty member conducted by the DFSC/SFSC may be appealed to the CFSC regarding interpretations of faculty performance and/or adherence to ASPT policies. In a performance-evaluation appeal, the CFSC is the sole and final appellate body. It may support or reverse a recommendation made by the DFSC/SFSC. If the CFSC believes that the basis of the appeal is an academic freedom or ethics violation question, the CFSC may suspend its proceedings until it receives the report from the Academic Freedom, Ethics and Grievance Committee.
2. Before filing a written intent to appeal a performance evaluation with the appropriate CFSC, a faculty member who believes that relevant factors or materials have been ignored or misinterpreted by the DFSC/SFSC is encouraged to seek an informal resolution of the issues with the DFSC/SFSC. If such informal resolution is unsuccessful, the faculty member shall be required to have a formal meeting with that committee to present arguments and additional materials for reconsideration of the decision prior to filing the written appeal. If the attempt of resolution after a formal meeting is unsuccessful, the appeal process shall proceed if the appellant so desires.
3. The appellant shall notify the appropriate CFSC Chairperson in writing of the intention to appeal the performance evaluation within ten (10) business days (days when University offices are open to the public) of the date on which the appellant received official notification of the department/school action giving rise to the appeal. The Chairperson of the appropriate CFSC in the case of a performance evaluation appeal shall respond to the appellant within five (5) business days following the receipt of a written intent to appeal.
4. The Chairperson of the appropriate CFSC shall inform the Chairperson/Director of the DFSC/SFSC of an appellant's performance evaluation appeal. The appropriate CFSC shall initiate consideration of a performance evaluation appeal (see Appendix I.C.).
5. The CFSC in performance evaluation cases must receive from the appellant written information supporting the appeal. The appellant may request appropriate information regarding the case. This information shall include any official document used to support a decision regarding a faculty member. The appellant has the right to address the CFSC in person, and either the appellant or the CFSC can request the DFSC/SFSC to appear in person before the CFSC.
6. The CFSC shall have access to any materials used by the DFSC/SFSC to make a decision. The CFSC may request from the appropriate faculty status committee written information supporting the original decision, which the DFSC/SFSC shall supply. In those rare instances when an event occurs or information becomes

available after the initial decision of the DFSC/SFSC and before deliberation of the CFSC, which event or information has direct bearing on the materials under review, such event or information may be considered by the CFSC with full written disclosure to the faculty member and the DFSC/SFSC. The CFSC may deny a hearing on an appeal where there is no showing that a substantial basis for appeal exists.

7. If a hearing is permitted by the CFSC, it will be conducted in accordance with XIII.D.
 8. The CFSC is the sole appeal in the case of performance evaluations. If a CFSC decision results in a change to a DFSC/SFSC recommendation, the DFSC/SFSC recommendation letter shall be revised in accordance with the CFSC decision, and all prior DFSC/SFSC communications shall be purged from the faculty member's record.
 9. A majority vote of the CFSC is necessary to sustain or reverse the DFSC/SFSC recommendation.
 10. Each CFSC shall submit an annual written report to the URC and to the Provost that enumerates all performance-evaluation appeals and describes their disposition.
- I. Initiation of a Cumulative Post-Tenure Review Appeal (*The reader should consult the current ASPT calendar for cumulative post-tenure review appeal dates.*)
1. A summative recommendation from a cumulative post-tenure review of a faculty member conducted by the DFSC/SFSC may be appealed to the CFSC regarding interpretations of faculty performance, and/or goals for extending teaching, scholarly and creative productivity and service initiatives over the coming three to five years. Failure to adhere to ASPT policies may also be appealed. In a cumulative post-tenure review appeal, the CFSC is the sole and final appellate body. It may support or modify a recommendation made by the DFSC/SFSC. If the CFSC believes that the basis of the appeal is an academic freedom or ethics violation question, the CFSC may suspend its proceedings until it receives the report from the Academic Freedom, Ethics and Grievance Committee.
 2. A faculty member who believes that relevant factors or materials have been ignored or misinterpreted by the DFSC/SFSC is encouraged to seek an informal resolution of the issues with the DFSC/SFSC. If such informal resolution is unsuccessful, the faculty member shall be required to have a formal meeting with the DFSC/SFSC to present arguments and additional materials for reconsideration of the decision (see Section X.D.) If the formal meeting is unsuccessful then the appeal process shall proceed if the appellant so desires.
 3. By March 22 a faculty member must file to the CFSC chairperson a written appeal to the cumulative post-tenure review evaluation and/or plan for remediation. The Chairperson of the appropriate CFSC shall acknowledge receipt of the appeal to the appellant and the DFSC/SFSC within five (5) business days and shall refer the faculty member to the appropriate section of the ASPT policy.

4. The appellant may request appropriate information regarding the case. This information shall include any document used to support a decision regarding a faculty member. The appellant has the right to address the CFSC in person, and either the appellant or the CFSC can request the DFSC/SFSC to appear in person before the CFSC.
5. The CFSC shall have access to any materials the DFSC/SFSC used to make its decision. The CFSC may request from the appropriate faculty status committee written information supporting the original decision, which the DFSC/SFSC shall supply. In those rare instances when an event occurs or information becomes available after the initial decision of the DFSC/SFSC and before deliberation of the CFSC, which event or information has direct bearing on the materials under review, such event or information may be considered by the CFSC with full written disclosure to the faculty member and the DFSC/SFSC. The CFSC may deny a hearing on an appeal where a substantial basis for an appeal has not been demonstrated.
6. If a hearing is permitted by the CFSC, it will be conducted in accordance with XIII. D. In no event shall written notification of the CFSC's decision occur later than April 15.
7. The CFSC is the sole appeal in post-tenure reviews. If a CFSC decision results in a change to a DFSC/SFSC recommendation, the DFSC/SFSC recommendation letter shall be revised in accordance with the CFSC decision, and all prior DFSC/SFSC communications shall be purged from the faculty member's record.
8. A majority vote of the CFSC is necessary to sustain or modify the DFSC/SFSC recommendation.
9. By May 1 each CFSC shall submit an annual written report to the URC and to the Provost that enumerates all cumulative post-tenure review appeals and describes their disposition.

J. Recommendations for Non-reappointment:

1. A recommendation for non-reappointment of a probationary faculty member is not subject to appeal.
2. If a faculty member believes that the basis for non-reappointment was an academic freedom or ethics violation, the faculty member may request a review by the Academic Freedom, Ethics and Grievance Committee.

* * * * *

XIV. Right of Access to Personnel Documents

A. General Policies:

1. Illinois State University shall provide access to personnel documents in accordance with applicable statutes. Official personnel files are kept by the Provost's Office, Human Resources, Departments/Schools, and/or Colleges. Anonymous communications other than student evaluations shall not be included in the official personnel file nor used as part of any ASPT evaluation or decision.
2. Any file kept in the Provost's Office, Human Resources and/or a Department/School or College office for the purposes of retaining information related to summative review shall be accessible to the faculty member in accordance with University policy and state and federal statutes.
3. Faculty members shall have the right to respond to materials contained in their official personnel files in the Office of the Provost, Human Resources, or in their Department/School or College files.

B. Faculty Access to Personnel Files:

1. Faculty members have the right to examine written materials that are considered by the DFSC/SFSC, CFSC, FRC, Provost, and President in making recommendations regarding appointment or nonreappointment, promotion, tenure, and performance-evaluated salary recommendations, as well as copies of all materials generated by the faculty member and by the DFSC/SFSC during post-tenure reviews.
2. Faculty members shall have access to their personnel files in Human Resources and at the Department/School, College, and University levels during regular office hours. Under no circumstances shall faculty members have the right to remove these files from the office. Access to the files shall be given only in the presence of an authorized office employee.
3. The right of faculty members to examine written materials does not extend to letters of reference or to external peer review documents for that faculty member under 820 ILCS 40/10. However an external reviewer or referee may provide a written and signed waiver of confidentiality permitting the faculty member to examine the peer review letter(s), letters of reference, and/or documents.

C. In the absence of a statutory restriction or judicial order, the University shall notify a faculty member upon receipt of a subpoena for the faculty member's personnel file.

* * * * *

APPENDIX 1

University ASPT Calendar for Reappointment, Promotion and Tenure, Performance-Evaluation, and Cumulative Post-Tenure Review, Reporting Requirements, and ASPT Elections

The schedules that follow provide calendars for ongoing procedures associated with the reappointment, promotion, and tenure reviews of faculty members as well as for post-tenure and performance-evaluation reviews, reporting requirements, and ASPT elections. If on any date the University is officially closed, the activity scheduled for that date must be completed on the next working day after the closing.

A. Calendar for Reappointment:

1. Probationary tenure appointments shall guarantee the following dates of notification in cases of non-reappointment:
 - a. not later than March 1 of the first academic year of service; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination;
 - b. To provide faculty with an opportunity to have all materials considered, not later than February 1 of the second academic year of service; or, if the appointment terminates during an academic year, at least six months in advance of its termination;
 - c. at least twelve months before the termination of an appointment after two or more years of service.

B. Calendar for Promotion and Tenure:

November 1 Candidates for promotion and tenure must file application materials. In those situations in which a faculty member chooses to extend a shortened probationary period, notification to add the credited years or a portion of the credited years to the probationary period shall be made to the Department/School Chairperson/Director prior to November 1 of the year previously scheduled for the summative review for tenure.

Prior to
December 15 DFSC/SFSC may notify promotion and tenure candidates and the CFSC, in writing, of recommendations at any time prior to December 15, but must notify candidates of intended recommendations at least 10 working days prior to submitting the final DFSC/SFSC recommendations to the CFSC. The DFSC must provide opportunity, if requested, for the candidates to hold a formal meeting with the committee to discuss these recommendations. If the candidate wishes to request a formal meeting

to discuss the DFSC/SFSC recommendation, then the candidate must request a meeting with the DFSC/SFSC within 5 working days of receiving the recommendation. Formal meetings will be held under the provisions of Article XIII.

- December 15 DFSC/SFSC recommendations for promotion and tenure must be reported to candidates and to the CFSC.
- February 1 CFSC must notify candidates of intended recommendations and provide opportunity, if requested, for candidates to meet with the committee to discuss these recommendations. If the candidate wishes to request a formal meeting to discuss the CFSC recommendation, then the candidate must request a meeting with the CFSC within 10 working days of receiving the recommendation. Formal meetings will be held under the provisions of Article XIII. D.
- March 1 CFSC recommendations for promotion and tenure must be reported to the Provost, DFSC/SFSC, and candidates.
- March 15 In the event of a negative recommendation by the DFSC/SFSC or the CFSC, a candidate who wishes a University-wide appeal of his/her credentials must file a request for a review by the Faculty Review Committee (FRC).
- March 21 Provost's recommendation for non-appealed candidates must be reported to the President, CFSC, DFSC/SFSC, and candidate.
- April 15 The FRC must complete its review of promotion and tenure appeals and report to the President, candidates, DFSC/SFSCs, CFSCs, and Provost unless an interim report is appropriate under provisions of Section XIII.D.3.
- April 30 Provost's decision for appealed cases must be reported to the President, candidate, DFSC/SFSC and CFSC.
- May 15 Notifications of the promotion and tenure decisions by the President shall be sent to the candidates, CFSCs, DFSC/SFSCs, and the Provost.

C. Calendar for Performance Evaluation Review:

- January 5 All faculty members eligible for performance-evaluation salary increment must submit files in support of their request for performance-evaluation adjustments.
- February 1 DFSC/SFSC recommendations for performance evaluation must be reported to the faculty member by February 1 in each year that the faculty member is performance-evaluation eligible. DFSC/SFSC must notify faculty members of intended recommendations to CFSC at least 10 working days before submitting these recommendations to CFSC and provide opportunity, if requested, for the candidates to meet with the committee to discuss these recommendations. If the candidate wishes to

request a formal meeting to discuss the DFSC/SFSC recommendation, then the candidate must request a meeting with the DFSC/SFSC within 5 working days of receiving the recommendation. Formal meetings will be held under the provisions of Section XIII.B.

- February 15 DFSC/SFSC must transmit final recommendation for performance-evaluation review to the faculty member and to the CFSC.
- March 1 Faculty members must file with the CFSC any appeal of the DFSC/SFSC performance-evaluation recommendation.
- March 31 All appeals to the CFSC of performance-evaluation recommendations must be completed and CFSC decisions reported to the Provost and to the faculty member. Appeals will be held under the provisions of Section XIII.H.

D. Calendar for Cumulative Post-Tenure Review

- January 5 All faculty members scheduled for cumulative post-tenure review must submit their materials.
- February 15 The DFSC/SFSC must inform the faculty member of cumulative post-tenure review evaluation and, if applicable, a plan for remediation.
- February 25 Faculty member's last day to request meeting with DFSC/SFSC to consider DFSC/SFSC response, and/or remediation plan.
- March 8 DFSC/SFSC gives final outcome of review and/or remediation plan to faculty member.
- March 22 A faculty member must file, to the CFSC chairperson, a written appeal to the cumulative post-tenure review. The CFSC chairperson shall acknowledge receipt of the appeal to the appellant and the DFSC/SFSC within five (5) working days. Appeals will be held under the provisions of Section XIII.I.
- April 15 Each CFSC shall submit to each appellant faculty member and to the appropriate DFSC/SFSC a written report that describes the disposition of the cumulative post-tenure review appeal.

E. Calendar for Reporting Requirements:

- May 1 Each CFSC shall submit an annual report (Promotion and Tenure) to its College Council and the URC (See ASPT Policies, Sections IV.D.). Also, each CFSC shall submit an annual written report to the URC and the Provost that enumerates all cumulative post-tenure review appeals and describes their disposition (see ASPT XIII.G.9.).

May 1 The fifth-year review of College Standards or, in the interim, proposed revisions to College Standards must be submitted to the URC.

The FRC shall submit to the URC a final report summarizing the number of appeals by Department/School and College, the type of appeals, and the disposition of these appeals (see Section III.F. and XIII.D.3. and 4., ASPT Policies.)

F. Calendar for ASPT Elections

April 15 Members to the University Review Committee, Faculty Review Committee and College Faculty Status Committee must have been elected.

May 1 Members to the Department/School Faculty Status Committee must have been elected.