

ILLINOIS STATE UNIVERSITY

FACULTY APPOINTMENT, SALARY, PROMOTION, AND TENURE POLICIES

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Effective January 1, 2012

Illinois State University formally reiterates and reaffirms its commitment to the principles of equal opportunity, affirmative action and diversity. Discrimination based upon race, color, religion, sex, national origin, age, disability, sexual orientation, gender identity and expression, order of protection status, or veteran's status is a violation of federal and state law and university policy and will not be tolerated. This non-discrimination policy applies to all programs administered by the University. However, this policy should not be construed to infringe upon the free exchange of ideas essential to the academic environment. To the extent allowed by law, all employment decisions, including those affecting hiring, promotion, demotion, or transfer; recruitment; advertisement of vacancies; layoff and termination; compensation and benefits; or selection for training will be made consistent with established Illinois State University policy. Responsibility for communicating, interpreting, and monitoring the University's equal opportunity policy has been assigned to the Office of Equal Opportunity, Ethics, and Access.

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Overview of the Illinois State University Appointment, Salary, Promotion, and Tenure System

This document describes the committees involved in the Appointment, Salary, Promotion and Tenure (ASPT) system and their activities, as well as policies for the appointment of probationary faculty. It also sets minimum levels of achievement necessary for sustained progress in the areas of Promotion, Tenure, Performance Evaluation, and Salary. Each Department/School is both allowed and expected to design a document that, without violating the intent of the criteria given herein, shapes these criteria to reflect its own identity, mission, and culture. The ASPT documents for each Department/School are periodically reviewed by the appropriate College Faculty Status Committee (CFSC) to ensure their consistency with the standards given in this University document. Proposed Department/School standards that fall below the minimum standards delineated herein, or that violate in principle the policies of the Board of Trustees, are invalid.

Appointing, rewarding, and retaining a highly competent faculty is a major responsibility of the University. The policies and procedures for handling appointment, salary, promotion, and tenure matters at Illinois State University provide a democratic system that involves the faculty in the evaluation of professional competence. General policies are set forth in the Governing Policy for the Board of Trustees of Illinois State University. The present Illinois State University Faculty Appointment, Salary, Promotion and Tenure Policies follow those general policies, and is approved by the Illinois State University Academic Senate. Amendments to and departures from these policies shall be approved by the Academic Senate and shall conform to the Board of Trustees governing policies.

A copy of these policies shall be made available to each new tenure track faculty at the time of appointment. A current copy that includes any policy revisions shall be made available to each tenured or probationary tenure faculty member when any revisions occur.

The University shall annually make available to all faculty members a calendar guiding the ASPT system.

Definition of the Term "Faculty"

The term "faculty" in this document refers to all individuals who hold full-time tenured or probationary appointments at Illinois State University with the rank of instructor, assistant professor, associate professor, or professor. The term "faculty" excludes all individuals who are not evaluated in the ASPT process. Only individuals defined in this

paragraph as "faculty" are eligible to vote for and be elected to the various committees specified in this document.

The Faculty Evaluation Categories

The faculty and administration recognize that a successful faculty evaluation system is embedded in the context of the University mission statement. Illinois State University is a multi-purpose university committed to expanding the horizons of knowledge and culture among students, colleagues, and the general citizenry. In order to accomplish the University mission, accommodate the diversity among disciplines, and recognize the expertise of each faculty member, the faculty evaluation system emphasizes the primary faculty roles in three mutually supportive categories: teaching, scholarly and creative productivity, and service. These categories of achievement, on which the various forms of faculty evaluation rest, are briefly described below.

Teaching

This category includes all interactions between faculty and students that focus on the enhancement of student skills, knowledge, understanding, and personal growth. Such interaction is not limited to the classroom but rather occurs in a broad variety of settings.

Scholarly and Creative Productivity

This category includes but is not limited to peer-reviewed authorship, application for and/or receipt of grants, creative productivity, presentation of professional papers, and other achievements specific to particular disciplines and areas of study.

Service

This category includes faculty contributions, both internal and external to the University, to specific disciplines and faculty participation in the shared governance and operation of the University.

Appendix 2 describes these categories and offers illustrative measurements of achievement within them. Further information specific to particular colleges is found in Appendix 3, and information specific to particular departments/schools will be found in department/school policies and procedures documents drawn up by the appropriate Department/School Faculty Status Committees (DFSC/SFSCs).

The Faculty Evaluation Process

Central to the evaluation process at Illinois State University is a system of formal reviews. Tenure-track faculty members may experience in their academic life reappointment reviews, performance reviews, promotion reviews, tenure reviews, and post-tenure reviews. Each form of review is described briefly below and in detail later in this document.

College, Department/School Guidelines

Faculty status committees in each department/school or college must ensure that their deliberations are in accord with these published standards (Appendix 2) for the university and the appropriate academic units. Evidence provided for these deliberations must be judged by these published standards, and the emphasis given to any evidence must be informed by the professional expertise of committee members.

Reappointment Review

Probationary faculty members are reviewed annually prior to recommendations for reappointment or nonreappointment. The DFSC/SFSC invites the faculty member to submit evidence of accomplishment consistent with the assignment in teaching, scholarly and creative productivity, and service, to document progress toward the attainment of tenure. Informative written appraisals are provided to the faculty member by the DFSC/SFSC stating the strengths and weaknesses of the candidate's progress toward the achievement of tenure (see Appendix 1.A).

Review for Performance Evaluation

Performance evaluations occur annually. All tenure-track faculty members who achieve satisfactory performance in a given year shall receive standard raises based on a minimum pre-established amount. However, additional performance-evaluated salary increases may also be awarded on the basis of reviews for performance evaluation (see XII.B.)

Summative Review for Promotion

Summative reviews for promotion may occur in any year of a faculty member's promotion eligibility. These summative reviews may be conducted in conjunction with performance evaluations, but they shall be regarded as separate from them, since a recommendation for promotion must be based on a faculty member's total achievement over a period of several years. Faculty may request a summative review for promotion in any year of eligibility (see VIII.B.) The summative review for promotion is a sequential

process from the DFSC/SFSC to the President and is hierarchical because only the President renders a decision. All other reports resulting from summative review for promotion are considered to be recommendations.

Summative Review for Tenure

Recommendations for tenure are based upon summative reviews that normally occur during the six-year probationary period. Faculty deemed ineligible to hold the rank of Associate Professor will ordinarily not be granted tenure (see IX.C.5.) However, a pre-tenure "stop-the-clock" mechanism that allows for exceptional circumstances provides flexibility in this process (see IX.B.3). The summative review for tenure is a sequential process from the DFSC/SFSC to the President and is hierarchical because only the President renders a decision. All other reports resulting from summative review for tenure are considered to be recommendations.

Post-Tenure Review including Cumulative Post-Tenure Review

Post-tenure review can occur in one of several ways. First, tenured faculty are evaluated annually (as are all faculty members at Illinois State) for the purpose of yearly accountability and for assessment of merit relative to salary incrementation programs. Second, faculty members who receive an unsatisfactory performance rating, as defined by the ASPT guidelines, during this annual process for any two years of a three-year period are required to undergo a cumulative post-tenure review. Third, individual academic departments may require, as a feature of their internal ASPT guidelines, a cumulative review of all tenured faculty members on a recommended three-to five-year cycle. Finally, tenured faculty members may wish to voluntarily submit their dossiers for a cumulative post-tenure review at certain junctures of their careers (see X).

The Faculty Appeals Process

The appeals process is intended to ensure that the faculty evaluation system is fair and objective. It offers a faculty member who believes that there has been a misinterpretation, misjudgment, or procedural error relating to a promotion, tenure, or performance evaluation an opportunity for additional review of such recommendations. The appeals process also supports the right of a faculty member to institute an appeal to the Academic Freedom, Ethics and Grievance Committee if the faculty member believes that there has been an academic freedom or an ethics violation (see XIII).

Provisions for Milner Library Faculty

The evaluation system recognizes that Milner Library faculty members occupy a unique position within the University community. The profession of librarianship carries its own set of professional qualifications, pedagogical concerns, research practices, and traditions of service. The role of a Milner Library faculty member therefore differs from that of faculty members in other colleges. One of the primary differences, though not the only one, is that for library faculty, the traditional evaluation framework of teaching, scholarly and creative productivity, and service is more appropriately viewed as librarianship, scholarly and creative productivity, and service. While the area of librarianship includes teaching as an important component, it also includes several other components that constitute an even larger part of a library faculty member's duties. The statements in this document that relate to faculty evaluation must therefore be interpreted broadly when applied to Milner Library faculty members. It is the responsibility of the Milner Library Department Faculty Status Committee and College Faculty Status Committee to develop governing documents consistent with this document that reflect the unique position of Milner Library faculty.

Provisions for Mennonite College of Nursing Faculty

Since the Mennonite College of Nursing has only one department the College will accommodate the responsibilities of the DFSC and CFSC by using the College Dean as the chairperson for both committees. The CFSC membership composition will have precedence over the DFSC membership as both committees require tenured faculty members (see IV.A.3 and V.A.4.a., b., c).

The ASPT Committee Structure

I. Committees: Policies, Selection, Organization, and Responsibilities

- A. It is understood that all committees act in an advisory capacity to the President. The Board of Trustees has granted to the President final responsibility to formulate decisions based upon the advice of the Provost and the Faculty Review Committee, regarding appointment, salary, promotion, and tenure presented to the Board of Trustees (see XII.A).
- B. Members of the University Review Committee, Faculty Review Committee, and College Faculty Status Committees will be elected by April 15 and members of the Department/School Faculty Status Committees will be elected by May 1 of each academic year. Their terms of office will normally commence with the start of the fall semester. No faculty member may serve for more than two consecutive terms on any one of these committees. No persons at any level may participate in deliberations regarding their own evaluations or those of spouses or other relatives by law or by consanguinity.
- C. Elected members of the Academic Senate shall not be eligible for election to the University Review Committee or the Faculty Review Committee. Faculty members shall be eligible to serve on only one of the following elected bodies at a time: the University Review Committee, the Faculty Review Committee, a College Faculty Status Committee, or a Department/School Faculty Status Committee. College Council members shall not be eligible to serve on a College Faculty Status Committee. Those faculty members holding administrative appointments may not be elected to serve on ASPT committees (URC, FRC, CFSC, DFSC/SFSC). Vacancies on the University Review Committee, Faculty Review Committee, College Faculty Status Committee, or Department/School Faculty Status Committee shall be filled by established election procedures. No faculty member shall vote in the election of more than one department/school and one college.
- D. All deliberations and all results and reports of these deliberations by committees and officials within the faculty status system process shall be

confidential, and files of committees and officials shall be managed in keeping with University policies regarding personnel files (see XIV).

Confidentiality regarding academic personnel processes is not only an academic tradition, but is also a necessity for broad and candid participation in the personnel process if it is to remain a shared governance process. While this necessary confidentiality may be breached by some legal inquiries, the confidentiality must, in the absence of any such inquiry, be respected and observed by all participants, committee members, officials, and applicants alike.

All deliberations of committees and officials within the faculty status system process shall be confidential (subject to Illinois and Federal laws) and files of committees and officials shall be managed in keeping with University policies regarding personnel files.

At the beginning of DFSC/SFSC deliberations, the chair/director should remind committee members (and at the beginning of CFSC deliberations, so should a dean remind committee members) that the committee's work may be communicated only to the next level of the faculty status process as defined in Faculty Appointment, Salary, Promotion and Tenure Policies and approved revisions, or in two other very specific instances:

First, if a DFSC/SFSC or CFSC committee member chooses to file a minority report, the text of such a report cannot reveal confidential aspects of a committee's or an official's deliberations.

Second, should a member of a DFSC/SFSC or CFSC committee conclude that the committee or an official involved in the faculty status system process has violated the civil rights of an applicant, that member should immediately notify the University Office of Diversity and Affirmative Action, where a confidential inquiry will be initiated.

II. University Review Committee (URC)

- A. The URC shall comprise elected faculty members with tenure (as defined on p. 1) and the Provost or the Provost's designee, who is an ex officio non-voting member. Each college shall have a minimum of one member on the URC. Any College with more than one hundred faculty members shall have one additional member for every additional one hundred faculty members (or major fraction thereof). Members from each College

shall be elected at large for staggered three-year terms by and from the faculty of each College. In addition, the URC shall include a faculty representative, subject to the qualifications, proportions, and term outlined for college representatives, elected by and from the faculty members of the Milner Library. Each College Dean and the University Libraries Dean shall inform the Provost of individuals elected to the URC.

- B. The URC shall elect a Chairperson, a Vice-Chairperson, and a Secretary from among its membership.
- C. 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.).
- D. The URC may conduct a University-wide equity review. In this case, the URC shall develop an appropriate equity distribution plan. This plan must be approved by the faculty members of the Academic Senate prior to its implementation. The Office for Diversity and Affirmative Action shall determine the criteria for affirmative action equity review in consultation with the URC.
- E. In consultation with the URC, as is deemed necessary, the Provost shall (1) ensure that University faculty status policies and procedures are available to all faculty members, (2) distribute the faculty status calendar indicating specific dates by which time the Departments/Schools and Colleges are to perform their stated function, (3) receive a general report of faculty performance-evaluation appraisals made by each DFSC/SFSC and each CFSC, (4) provide interpretations of ASPT policies related to procedure and (5) submit a summary of faculty performance recommendations to the President. This summary shall also be made available to the Academic Senate in Executive Session.

Final reports prepared for the Board of Trustees shall be available for review by members of the Academic Senate at least forty-eight hours prior to the Executive Session. Faculty members of the Academic Senate may present suggestions or comments in writing to the President. During the Executive Session only written comments to the President, received prior to the Academic Senate meeting, can be discussed. There shall be no discussion of individual faculty members.

- F. In consultation with the Provost, the URC shall (1) develop the faculty status calendar indicating specific dates by which time the Departments/Schools and Colleges are to perform their stated functions and (2) provide interpretations of ASPT policies and procedures as needed. Any faculty member or committee may request interpretation of ASPT policies. Such opinions are advisory; appeals of specific actions taken under the ASPT process must be directed to the appropriate appellate body. During an appeal, the appeal committee may consult with the URC regarding interpretations of ASPT policies only in the broad sense; however, the URC shall not provide specific interpretation of a particular case.

III. Faculty Review Committee (FRC)

- A. The FRC shall comprise elected faculty members with tenure (as defined on p. 1) who have served previously on a Department/School Faculty Status Committee or College Faculty Status Committee. Each college, including Milner Library, shall have a minimum of one member on the FRC. Any college with more than one hundred faculty members shall have one additional member for every additional one hundred faculty members (or major fraction thereof). Members from each College shall be elected at large for three-year staggered terms by the tenured and tenure-track faculty members from that College. Each College Dean, including Milner Library, shall inform the Provost of individuals elected to the FRC.
- B. The FRC shall elect a Chairperson, a Vice-Chairperson, and a Secretary from among its membership.
- C. The FRC as a whole shall consider appeals of promotion and tenure decisions only. An FRC member from an appellant's department/school will not take part in the appellant's appeal. Any member serving on a particular case shall continue on that case until the case is resolved, even if resolution occurs after the member's term would otherwise have

ended. An appeal of a performance evaluation decision must be made to the CFSC (see XIII.F).

- D. Section XIII of this document details appeals policies and procedures. Prior to hearing promotion or tenure appeals, the FRC operates under the following guidelines:
1. A faculty member may request a University-wide review of his/her credentials only if he/she has followed the procedures for resolving differences between individuals and the appropriate DFSC/SFSCs or CFSCs;
 2. If the procedures mentioned in III.D.1 have failed to resolve a tenure or promotion disagreement, a request for University-wide review shall be submitted to the FRC no later than March 15.
- E. The FRC will be the University committee to hear an appeal for dismissal of a tenured faculty member.
- F. 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 dispositions of these appeals.

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.

2. Milner Library shall have a CFSC that is comprised of two faculty members (as defined in the Overview) and the Dean, University Libraries, who is an ex officio voting member and Chairperson of the Committee. Elected members of the committee must hold tenure. Members shall be elected at-large by Milner Library Faculty for staggered two-year terms. Since Milner Library has no departments, Milner Library CFSC members may participate in all deliberations unless these deliberations involve them as individuals.
3. The following stipulations shall apply to the Mennonite College of Nursing until it has an appropriate number of tenured faculty members.
 - a. With no tenured faculty members, there shall be no CFSC; instead, the Dean shall be responsible for the implementation of faculty status policies.
 - b. With one tenured faculty member (excluding the Dean), the CFSC shall comprise the tenured faculty member and the Dean.
 - c. With two tenured faculty members (excluding the Dean) the CFSC shall comprise the two tenured faculty members and the Dean.
 - d. With three tenured faculty members (excluding the Dean), the CFSC shall comprise the three tenured faculty members and the Dean.

B. CFSC Review of Departmental/School Policies and Procedures:

1. The CFSC shall review Department/School policies and procedures for appointment, reappointment, performance-evaluation, promotion, tenure, and post-tenure reviews with authority to ensure conformity to College standards and University policies and procedures.

2. The CFSC shall review Department/School policies and procedures for the allocation monies devoted to performance-evaluated salary increments. These policies and procedures are left to the discretion of each Department/School, but the CFSC shall review them for clarity, and fairness, and internal consistency.
3. The URC shall decide in the event of a disagreement between a DFSC/SFSC and a CFSC regarding the development of the policies and procedures.

C. CFSC Review of Departmental/School Recommendations:

1. In all situations involving tenure, the CFSC shall review the cases of the individuals involved and either endorse the DFSC/SFSC's recommendation or reach an alternate recommendation.
2. In all situations involving a positive DFSC/SFSC recommendation for promotion, the CFSC shall review the promotion application of the individual involved and either endorse the DFSC/SFSC's recommendation or reach an alternate recommendation. A faculty member may withdraw an application for promotion at any time during the review process prior to review by the President. Negative DFSC/SFSC recommendations for promotion shall not be forwarded beyond the Department/School to the CFSC unless the faculty member requests, in writing, to the Department/School Chairperson/Director, additional review.
3. The CFSC shall receive a report of the DFSC/SFSC recommendations for performance-evaluated salary increments. The CFSC shall approve the recommendations in the report for consistency and conformity to Department/School policies, College standards and University policies. Faculty members may appeal to the CFSC a DFSC/SFSC performance-evaluated review. The CFSC shall serve as the final appellate body for a performance evaluated review (see XIII.H.).
4. In cases of tenure and promotion, the DFSC/SFSC shall forward to the CFSC the candidate's evidence of accomplishment, together with its recommendation and rationale, all minority

reports, and the chairperson's/director's recommendation (if required) and rationale. Chairpersons/directors are required to write a separate report when the chairperson's/director's recommendation differs from the DFSC/SFSC recommendation. (A "minority report" is defined as a voluntary written statement submitted by a committee member(s) other than the Department/School Chairperson/Director indicating reasons for dissenting from an action or recommendation taken by the majority of the committee. Such a minority report may focus on the conclusions the author wishes to propose, and the evidence for such conclusions. Such an argument is understood to argue that the majority conclusions are flawed. The minority report must not breach the confidentiality of the faculty status process by reporting the deliberations of the committee, by reporting the views or statements of individual members of the committee during deliberations, or be communicated or transmitted to any member of the university other than the immediate next level of the faculty status process.) Materials may be requested by the CFSC to clarify, support or substantiate the faculty credentials. In those rare instances when an event occurs or information becomes available after the initial recommendation of the DFSC/SFSC and before deliberation of the CFSC, which event or information has direct bearing on the review, such event or information may be considered by the CFSC with full written disclosure to the candidate and the DFSC/SFSC. The CFSC shall notify the candidate in writing of its intended recommendation and rationale before submitting its recommendation to the Provost and shall provide opportunity for the candidate to meet with the CFSC to discuss the intended tenure and/or promotion recommendation. The candidate who believes that relevant factors or materials have been ignored or misinterpreted shall be entitled to present arguments and additional materials. This activity must be accomplished within the time period provided for CFSC review (see Appendix 1.B). The candidate must provide to the DFSC/SFSC any evidence provided to the CFSC that was not previously shared with the DFSC/SFSC.

5. The CFSC recommendation and rationale, any minority reports, and the Dean's recommendation (if required) and rationale shall be forwarded in writing to the candidate, the DFSC/SFSC, and the Provost. Any member of the CFSC may submit a minority report. (A "minority report" is defined as a voluntary written

statement submitted by a committee member(s) other than the Dean indicating reasons for dissenting from an action or recommendation taken by the majority of the committee. Such a minority report may focus on the conclusions the author wishes to propose, and the evidence for such conclusions. Such an argument is understood to argue that the majority conclusions are flawed. The minority report must not breach the confidentiality of the faculty status process by reporting the deliberations of the committee, by reporting the views or statements of individual members of the committee during deliberations, or be communicated or transmitted to any member of the university other than the immediate next level of the faculty status process.) Deans are required to write a separate report when their recommendation differs from the CFSC recommendation.

6. The candidate's application, DFSC/SFSC and CFSC reports, all minority reports from those committees, together with the chairperson's/director's and dean's reports (if required) shall be used by the Provost in formulating a recommendation. The Provost may request further information about any of the recommendations or from the candidate before making a recommendation to the President. In those rare instances when an event occurs or information becomes available after the recommendation of the CFSC and before deliberation of the Provost, which event or information has direct bearing on the review, such event or information may be considered by the Provost with full written disclosure to the candidate, the DFSC/SFSC and the CFSC.

D. CFSC Reporting Requirements:

1. The CFSC shall inform the appropriate DFSC/SFSC and the faculty member in writing of all its actions and recommendations regarding faculty members (see IV.C. 1-6). In reporting all formal CFSC actions and recommendations to the Provost a record of the numeric vote shall be included.
2. All DFSC/SFSC and CFSC reports with all materials and documents used in making the recommendation shall be forwarded to the Provost for review. After receiving and

considering these reports, the Provost shall make recommendations to the President.

3. Each CFSC shall submit by May 1 an annual report to its College Council and to the URC. This report should include, for Departments/Schools and for the College as a whole, the following information:
 - a. the number of eligible faculty recommended and not recommended for tenure;
 - b. the number of eligible faculty recommended for promotion to each rank;
 - c. the number of times the CFSC concurred with DFSC/SFSC recommendations for promotion and for tenure;
 - d. the number of promotion and tenure cases in which the CFSC reached alternate recommendations to those made by DFSC/SFSCs;
 - e. the number of promotion and tenure cases in which each Department/School Chairperson/Director made alternate recommendations to those reached by the DFSC/SFSC;
 - f. the number of promotion and tenure cases in which the Dean made alternate recommendations to those reached by CFSCs.
 - g. the number and disposition of appeals;
 - h. the number of faculty members recommended for performance-evaluated salary increments.
 - i. by department, the number of non-reappointed tenure track faculty members with the number of years served at Illinois State and the number of years attributed to the faculty member before hire.

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.

2. An untenured faculty member shall not be elected to a term that coincides with the year in which the DFSC/SFSC is considering the individual for tenure.
 3. The Department/School shall develop written procedures, subject to review by the CFSC, for electing one of its number to complete an unexpired term.
 4. The following stipulations shall apply to Departments/Schools with few or no tenured faculty members:
 - a. In a Department/School with no tenured faculty members, there shall be no DFSC/SFSC; instead the Department/School Chairperson/Director shall be responsible for the implementation of faculty status policies.
 - b. In a Department/School with one tenured faculty member (excluding the Chairperson/Director), the DFSC/SFSC shall comprise the tenured faculty member, an elected faculty member and the Chairperson/Director.
 - c. In a Department/School with two tenured faculty members (excluding the Chairperson/Director), the DFSC/SFSC shall comprise two elected faculty members, at least one of whom holds tenure, and the Chairperson/Director.
 5. Each Department/School shall develop policies and procedures for use when DFSC/SFSC members are evaluated. These policies and procedures must be approved by the majority vote of the Department/School faculty.
- B. DFSC/SFSC Development of Departmental/School Policies and Procedures:
1. Following appropriate faculty input, each DFSC/SFSC shall develop Department/School policies and procedures for appointment, reappointment, performance-evaluation, promotion, tenure, and post-tenure reviews. These policies and procedures shall be approved by the majority vote of the eligible Department/School faculty prior to January 1 of the year in

which the policies and procedures take effect. Copies of these policies and procedures shall be distributed to each Department/School faculty member. These policies and procedures are left to the discretion of each Department/School but they shall be submitted to the appropriate CFSC, which will approve them for their conformity to College standards and University policies and procedures (see IV.B.1).

2. Following appropriate faculty input, each DFSC/SFSC shall develop Department/School policies and procedures for the allocation of monies devoted to performance-evaluated salary increments and salary equity adjustments. These policies and procedures must be approved by the majority vote of the Department/School faculty prior to January 1 of the year in which the policies and procedures take effect. Copies of these policies and procedures shall be distributed to each Department/ School faculty member. These policies and procedures are left to the discretion of each Department/School, but they shall be submitted to the appropriate CFSC, which will approve them for their clarity, fairness, and conformity to College standards and University policies and procedures (see IV.B.2).

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.

3. The DFSC/SFSC shall be responsible for making recommendations regarding faculty contracts and appointments, for reappointment and non-reappointment, for performance evaluation, for salary adjustments and for promotion, tenure, and dismissal.
4. In cases of tenure and promotion the DFSC/SFSC shall notify the candidate of its intended recommendation and rationale before submitting its recommendation to the CFSC and shall provide opportunity for the candidate to meet with the DFSC/SFSC to discuss the intended tenure and promotion recommendation. The candidate 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. This activity must be accomplished within the time period provided for DFSC/SFSC review (see Appendix 1.B). The candidate's evidence of accomplishment together with the DFSC/SFSC recommendation and rationale, the Chairperson/Director's report, if required (see IV.C.4), and all minority reports shall be forwarded in writing to the candidate, the CFSC, DFSC/SFSC and the Provost. Any member of the DFSC/SFSC may submit a minority report (see IV.C.4). If additional materials are used by the DFSC/SFSC to reach a recommendation the DFSC/SFSC must inform the candidate in writing about their use and the materials must be made available to the candidate. All materials used in arriving at a recommendation must be forwarded on to the CFSC.

D. DFSC/SFSC Reporting Requirements:

1. The DFSC/SFSC shall inform each departmental/school faculty member in writing of DFSC/SFSC recommendations and the Chairperson's/Director's recommendations (if required in IV.C.4) pertaining to his or her rank, tenure status, and salary increments according to the annual faculty status calendar given in this document (see Appendix 1). The DFSC/SFSC shall also

report its recommendations regarding performance evaluations, promotions, and tenure to the CFSC and to the faculty member affected by these actions. Any DFSC/SFSC member may submit a minority report (see IV.C.4). In reporting DFSC/SFSC actions and recommendations to the CFSC and to the faculty member affected by these actions and recommendations, the DFSC/SFSC shall include a record of its numeric vote and forward all material used in arriving at the recommendation. The DFSC/SFSC shall observe strict confidentiality regarding its recommendation and its deliberations.

Policies and Procedures for Appointment, Reappointment, Promotion, Tenure, Post-Tenure Review, and Dismissal

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 member's 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. 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

- A. The attainment of successively higher academic ranks at Illinois State University marks professional growth and the achievement of status within a discipline. Further, such status is generally expected to be demonstrated by a sustained record of professional competence. Hence, promotions are neither automatic nor the product of any set formula based on yearly performance-evaluation ratings.
- B. Promotions are initially recommended and justified by the DFSC/SFSC. It is the responsibility of Departments/Schools to ensure that faculty members understand their individual assignments of efforts and activities. Interim appraisals must be made in writing by the DFSC/SFSC. Faculty may request a summative review for promotion in any year of eligibility.
- C. Department/School, College, and University criteria for promotion shall be provided to faculty. Under no circumstances should a candidate be promised or in any way assured of promotion.
- 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.

- E. So that the University adheres to common standards, the following minimal requirements in teaching, scholarly and creative productivity, and service for promotion are set forth. Criteria for meeting these requirements are suggested but not limited to the criteria found in Appendix 2. Only under unusual and justifiable circumstances will variations from these requirements be approved.
1. For possible promotion from Instructor to Assistant Professor:
 - a. The candidate shall possess the appropriate terminal degree or its equivalent in the discipline, as determined by the Department/School and the College, together with other professional qualifications and accomplishments, including demonstrated teaching competence in the candidate's field of academic concentration.
 - b. The candidate's continuing professional growth and professional activities should be of sufficient quality to warrant promotion to Assistant Professor.
 2. For possible promotion from Assistant Professor to Associate Professor:
 - a. The candidate shall possess the appropriate terminal degree in the discipline, as determined by the Department/School and the College, or sufficient stature

in their field and profession, as attested to by regionally and nationally recognized accomplishments (publications, external grant awards, art shows, performances, honors, etc.) to justify waiving the requirement of an appropriate terminal degree.

- b. A candidate may bring in up to two years of full-time service at the rank of assistant professor at the college or university level in consideration for promotion to Associate Professor. An Assistant Professor is eligible for review for promotion in the fourth year of service. Promotion to Associate Professor may take effect in the fifth year. Faculty members who hold rank in an academic department/school but who are assigned to laboratory schools are considered for these purposes as teaching at the college or university level. (Ordinarily, promotion to Associate Professor shall not occur prior to recommendation for tenure, see IX.C.5).
 - c. The candidate's continuing professional growth and professional activities should be of sufficient quality to warrant promotion to Associate Professor.
3. For possible promotion from Associate Professor to Professor:
- a. The candidate shall possess the appropriate terminal degree in the discipline, as determined by the Department/School and the College, and/or highly recognized stature in their field and profession, as attested to by regionally and nationally recognized accomplishments (publications, external grant awards, art shows, performances, honors, etc.) to justify waiving the requirement of an appropriate terminal degree.
 - b. Ordinarily an Associate Professor must have served full time for at least four years as associate professor at Illinois State and have completed at least ten full-time years as a faculty member at the college or university level. Review for promotion to Professor may occur in the tenth year of service. Promotion to Professor may take effect in the eleventh year. Review for promotion to Professor would normally occur in the fourth year of

service as Associate Professor at Illinois State University. Promotion to Professor may take effect the following year. Faculty who hold rank in an academic department/school but who are assigned to laboratory schools are considered for these purposes as teaching at the college or university level.

- c. The candidate's professional activities shall demonstrate an excellence of quality that reflects sustained past performance and is indicative of meritorious future performance.
- F. All DFSC/SFSC recommendations regarding promotion shall be based on criteria set forth in the faculty status policies and procedures that have been developed for Departmental/School use (see V.C.2.b). These criteria shall be consistent with the University Guidelines and Criteria for Performance Evaluation that are found in Appendix 2 of this document.
 - G. Time spent on unpaid leaves of absence shall not be counted as progress toward promotion. Time spent on sabbatical leaves shall be counted as progress toward promotion unless the faculty member and the Provost agree in advance that it shall not be so counted.

IX. Tenure Policies

- A. Nature of Tenure
 - 1. The 1940 Statement of Principles of Academic Freedom and Tenure states, "After the expiration of a probationary period, teachers or investigators should have permanent or continuous tenure, and their services should be terminated only for adequate cause" such as "extraordinary circumstances because of financial exigencies." The 1940 Statement also provides a rationale for tenure:

Tenure is a means to certain ends; specifically: (1) Freedom of teaching and research and of extramural activities, and (2) a sufficient degree of economic security to make the profession attractive to men and women of ability. Freedom and economic security, hence tenure, are

indispensable to the success of an institution in fulfilling its obligations to its students and to society.

2. Recognition of the tenure concept and its rationale is provided in the Board of Trustees Governing Policy for Illinois State University and in the Illinois State University Constitution. Briefly summarized, academic tenure is an arrangement under which faculty appointments, after successful completion of a probationary period, are continued, subject to dismissal only for adequate cause, unavoidable termination on account of genuine and demonstrable exigency or elimination or reduction of an institutional program, until retirement. Termination due to financial exigency or to program elimination or reduction must be in accordance with University and Board of Trustees policies. The probationary period is that period of professional service during which a faculty member does not hold tenure and is carefully and systematically observed by colleagues for the purpose of evaluation of professional qualifications. At the end of this period, the faculty member either receives tenure or is not reappointed.
- B. General Tenure Policies: To be recommended for tenure, faculty members must serve a probationary period, as stated in their initial appointment contracts. A tenure decision will be initiated by the DFSC/SFSC or, in Departments/Schools that have no DFSC/SFSC, by the Department/School Chairperson/Director, in a timely enough manner to allow final determination to occur at least one year before the end of the probationary period. An award of tenure requires the approval of the President.
1. Time spent on unpaid leaves of absence generally shall not be counted as progress toward tenure; exceptions may be granted by the Provost, in consultation with the Dean and Department/School Chairperson/Director. Time spent on sabbatical leaves shall be counted as progress toward tenure unless the faculty member and the Provost agree in advance that it shall not be counted. A copy of that agreement shall be retained in the faculty member's personnel file. Ordinarily, a leave of absence to pursue political activity shall not be counted toward fulfillment of the probationary period of service. The faculty evaluation process also provides for a pre-tenure stop-

the-clock mechanism for exceptional circumstances outlined elsewhere (see IX.B.3).

2. The probationary period at Illinois State University may not exceed seven years. This period may be reduced by full-time service as a faculty member at other institutions of higher learning. A newly-appointed faculty member with prior full-time service may be credited with up to three years of service and shall be notified in writing how many years of probationary service credit is being given and how long, therefore, the reduced probationary period of service shall be. A faculty member whose probationary period of service has been thus reduced may be considered for tenure according to the reduced period of service or request that the years of service already credited be added back to the reduced probationary period, thereby lengthening the probationary period and deferring the tenure decision. 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. Once the process of summative review for tenure has begun, the faculty member shall not be allowed to add years to the probationary period (see Appendix 1.B).
3. Exceptional circumstances may on occasion disrupt normal progress toward tenure. Upon request by a faculty member, a one-year stop-the-clock extension of the probationary period with compensation may be granted by the Provost in consultation with the Dean and the Department/School Chairperson/Director. Exceptional circumstances may include, but are not limited to, pregnancy and/or childbirth, extended illness or injury, severe domestic issues, disruption of research facilities, or foreign teaching assignments. Because extension of the probationary period is intended to address unforeseen circumstances, such an extension should not be granted merely because a faculty member has failed to meet performance expectations. A stop-the-clock period will not count toward tenure.

4. The decision concerning tenure must be made at least twelve months before the expiration of the probationary period. The DFSC/SFSC shall, for every faculty member whose tenure date occurs in the following year, submit its recommendation to the CFSC, which in turn will recommend to the Provost, who will recommend to the President. Departments/Schools are encouraged to recommend early tenure only in unusual circumstances, and when candidates are recommended for tenure before the last year of the probationary period, should the recommendation not be accepted, the candidate may finish the probationary period and may reapply for tenure.
 5. Department/School and University criteria for tenure shall be provided to faculty members. Under no circumstances should a candidate be promised or in any way assured of tenure.
 6. It shall be the faculty member's responsibility to provide appropriate certification of the completion of degrees or credit hours before November 1 if these are to be considered in a tenure recommendation intended to become effective during the following academic year. The Provost, however, may use discretion in interpreting what constitutes "appropriate certification."
- C. Criteria for Tenure: The granting of tenure is a major decision and should not be considered automatic once a faculty member enters the probationary period. Tenure is neither automatic nor the product of any set formula based solely on yearly performance-evaluation ratings. The following statements list the primary criteria on which tenure recommendations at Illinois State University are based. Exceptions to these criteria, while possible, shall be rare.
1. Consideration for tenure is predicated upon receipt of a terminal degree or its equivalent in the discipline, as determined by the Department/School and the College, together with other professional qualifications and accomplishments, including demonstrated teaching competence in the candidate's field of academic concentration.
 2. There must be evidence of continuing high quality professional performance during the probationary period with an emphasis on the mutually supportive activities of teaching, scholarly and

creative productivity, and service (see Appendix 2). It is also understood that the awarding of tenure carries with it the expectation for continued high-quality performance.

3. The candidate's competencies must be in keeping with the long-range goals of the Department/School and the University if tenure is to be recommended.
4. The candidate must have demonstrated the capability to work responsibly and knowledgeably toward the goals of the Department/School and the University.
5. To be eligible for tenure, a faculty member should hold the rank of Associate Professor or Professor or be recommended for promotion to the rank of Associate Professor when tenure is recommended. An individual who cannot qualify for promotion to Associate Professor at the time of tenure shall ordinarily not be considered for tenure.

D. Procedural Considerations Related to Tenure:

1. Evaluation of the performance of a faculty member during the probationary period is ongoing. The decision to award or deny tenure shall take into account the faculty member's performance during the entirety of the probationary period. Annual letters from the DFSC/SFSC shall address the candidate's strengths and weaknesses that pertain to future tenure recommendations (see IX).
2. To this end, a written appraisal of performance, including a statement of the faculty member's potential contribution to the long-range goals of the Department/School, will be provided every year by the DFSC/SFSC (see V.C) to each full-time, probationary faculty member.
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.

4. A summative review of a faculty member's professional activities shall be completed at the time a tenure recommendation is made.

X. Post-Tenure Reviews Including Cumulative Post-tenure Reviews

Post-tenure review can occur in one of several ways at Illinois State University. First, tenured faculty are evaluated annually (as are all faculty at Illinois State) for the purpose of yearly accountability and for assessment of merit relative to salary incrementation programs. Second, faculty members who receive an unsatisfactory performance rating, as defined by the ASPT guidelines during this annual process for any two years of a three-year period are required to undergo a cumulative post-tenure review. Third, individual academic departments may require, as a feature of their internal ASPT guidelines, a cumulative review of all tenured faculty on a recommended three-to five-year cycle. Finally, tenured faculty members may wish to voluntarily submit their dossiers for a cumulative post-tenure review at certain junctures of their careers.

- A. Cumulative reviews are meant to assess and evaluate the performance of the Department/School's tenured faculty relative to the mission and goals of the Department/School and University while at the same time to support and develop the faculty. The reviews have several purposes, including:
 1. The cumulative post-tenure review allows tenured faculty members to evaluate their own work and their own short- and long-range professional goals in a multi-year context.

2. The cumulative post-tenure review allows tenured faculty members to evaluate, plan, and implement their career goals in relation to changing departmental needs. The faculty member must be supported and protected during periods of changing departmental mission by allowing each faculty member a reasonable amount of time to adjust to these changes, and by clear, written guidance and approval of plans and adjustments that may be needed.
3. The cumulative post-tenure review encourages Departments/Schools to assist faculty members in fulfilling faculty and department/school goals that pertain to teaching, scholarly and creative activity, and service.
4. The cumulative post-tenure review provides a measure of accountability to the University, its stakeholders and the State of Illinois.
5. The cumulative post-tenure review offers benefits to individual faculty members, as well. Individual faculty may wish to present their materials for a number of reasons, including obtaining "feedback" regarding teaching or research plans, obtaining access to faculty development funds or research seed money to support a developmental goal, on assessing readiness for promotion or other changes such as sabbaticals or leaves of absence; making sure that the changing interests of mid- or late-career faculty can be productively and positively tied to departmental needs and departmental roles. Some key research or publication projects or proposals for teaching innovation may require prior agreement regarding evaluation criteria in the interim. Some, if not all, cases for compensation equity adjustments require the evaluation of a multi-year period, and a faculty member may wish to make a holistic case for equity on merit over a three- to five-year period. Modifications or flexibility in workload to allow deeper engagement in scholarship or teaching, over a multi-year period, may best be requested in the context of a post-tenure review. Finally, peer recognition of individual career development is positive, and many-faceted; linking the "sphere of the individual" to the departmental collective is especially important when the individual is considering redirecting or rechanneling professional efforts, and highly functioning

departments must be kept aware of these changes to better meet student needs. Institutional vitality depends upon individual faculty vitality, and a supportive environment will connect the individual's goals, motivations, and interests to the organization's goals, culture and policy.

All varieties of post-tenure review are carried out in a context of formative evaluation, of respect for academic freedom, and of respect for planned career development on the part of faculty. Illinois State University acknowledges that tenured faculty, especially full professors, may exercise a great deal of latitude in choosing directions for research and teaching, for example, as well as in choosing relative emphasis for the teaching, research, and service roles in an individual's career and at various times in that career. While curricular coverage, departmental teaching loads and the like must be maintained, the vitality of faculty careers and interests must be respected. Informed and specific conversations about possible changes or tensions among all these facets of careers are imperative, if Departments/Schools are to understand and fully engage the resources of their members, and if individual faculty are to understand, over the course of long careers, how their changing talents relate to the needs of Illinois State University.

It is expected that the cumulative post-tenure review shall not be inconsistent with, but rather, will incorporate, reflect and build on the annual reviews of the previous years. Emphasis should be placed on the positive role played by the cumulative post-tenure review in enabling faculty members to shape their continuing careers and for their Departments/Schools and Colleges to grow and change along with the constituent faculty.

- B. At the time of cumulative post-tenure review a faculty member shall submit to the DFSC/SFSC materials for performance-evaluation review and a narrative. It is not the intent of this cumulative post-tenure review policy to increase unnecessarily the paperwork for individual faculty members. Ideally, for example, a dossier for a cumulative post-tenure review would consist of clearly-labeled copies of the documentation submitted for each of the previous three to five years, along with copies of the summative evaluation for each of those years as received from the DFSC/SFSC. The narrative may be relatively short, referring to the materials for preceding years, but it also offers the opportunity for the faculty member to provide a more holistic sense of the faculty member's work than is possible in a narrative that covers a one-year review.

1. Through the narrative the faculty member should:
 - a. Address what the faculty member considers significant accomplishments and provide assessment and evaluation of work over the previous three to five years.
 - b. Formulate and describe individual goals and plans for teaching, for scholarly and creative productivity, service, and project other relevant professional activity for the coming three to five years.
 2. The faculty member may identify specific needs, opportunities to teach or develop courses in new areas, and plans for pedagogical or scholarly work that may involve a request for new equipment or facilities. The faculty member may request a change in assignment to allow for innovative or varied activities.
- C. Cumulative post-tenure review documents shall be submitted to the DFSC/SFSC, which in turn will respond in writing to the faculty member under review. If a DFSC/SFSC recognizes, after having received a cumulative post-tenure review document, that serious unresolved deficiencies exist, the DFSC/SFSC, in consultation with the faculty member, shall develop a plan for remediation of these deficiencies. This plan must accompany the final recommendation to the faculty member. In the future, annual summative reviews of performance by the DFSC/SFSC shall assess and evaluate the extent to which the plan has been acted upon until the deficiencies are eliminated.
- Plans for remediation of deficiencies, especially those that require faculty development activities which require the commitment of resources (for example, for travel to conferences for new teaching equipment or materials, or for release, or reassigned time, or other workload changes) must be written, and communicated to, and signed by the relevant parties, including the dean, if the resource needs exceed those available to the department/school. Plans developed by faculty who are not addressing deficiencies, but rather are delineating new directions or emphases, should, if these plans involve resources or workload shifts, be similarly recorded.
- D. Having received the DFSC/SFSC response by February 15, the faculty member then has the right to respond, in writing or in person, to the

DFSC/SFSC should the faculty member believe that there has been a misrepresentation, misjudgment, or procedural error relating to the review or remediation plan. This response, explaining the misrepresentation, misjudgment, or procedural error, must occur by February 25. The DFSC/SFSC must reply to the faculty member's response by March 8 with the final outcome of review and/or mediation plan. Copies of all materials generated by the faculty member and by the DFSC/SFSC will be supplied to the Dean.

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.

B. Tenured Faculty:

1. Dismissal of a tenured faculty member may be effected by the University for such adequate causes as lack of fitness to continue to perform in the faculty member's professional capacity as a teacher or researcher; failure to perform assigned duties in a manner consonant with professional standards; malfeasance; or demonstrable University financial exigency or program termination.
2. Procedures and standards for dismissal shall be according to University policies approved by the Academic Senate which should adhere to the principles set forth in the American Association of University Professors' documents (as of January 1, 1999) regarding principles of academic freedom and tenure and procedural standards in dismissal proceedings.
3. The standard for dismissal of a tenured faculty member is that of adequate cause. The burden of proof shall be upon the institution. Negative performance-evaluation ratings shall not shift the burden of proof to the faculty member (to show cause why the faculty member should be retained). Evaluation records may be admissible but may be rebutted as to accuracy.

Performance Evaluation and Salary Incrementation

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 system. 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 performance" 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.

Appeals Policies and Procedures

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 1 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 1.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.F.3). 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 1.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.

Right of Access to Personnel Documents

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.

Appendices

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.F.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 (Section 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 XIII.I.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 (Sections III.F.).

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.

APPENDIX 2

University Guidelines and Criteria for Faculty Evaluation

Faculty effort and activity are evaluated in three areas: teaching, scholarly and creative productivity, and service. Because these areas are mutually supportive, the activities undertaken in one area may at times overlap another. Despite this interdependence, each area has its own definition, its own activities, and its own guidelines and criteria for evaluation. It is emphasized that the activities referred to in this section are illustrative and that, while departmental/school guidelines must be consistent with University guidelines, departments/schools are expected to adapt these guidelines to their own unique situations. It is expected that the guidelines and criteria for evaluation will demonstrate quality of accomplishment and a standard of excellence.

Criteria for the Evaluation of Teaching

The majority of direct instructional activities by Illinois State University faculty are undertaken within classrooms, laboratories, studios, etc. Indeed, faculty and student interaction within the traditional classroom is the most common form of teaching. At the same time as new instructional technologies develop and as a variety of forms of out-of-class learning experiences become more important, Illinois State University faculty members will engage increasingly in such activities, devoting more time to modes of instruction that occur outside of the traditional classroom. To be adequate, any mechanism for the evaluation of teaching must be comprehensive enough to encompass these new activities and technologies. Moreover, the scholarship of teaching likewise may focus not only on traditional classroom instruction but also on other forms of teaching such as conducting laboratories, mentoring interns and advanced graduate students, tutoring individual students, and student advising.

Therefore, teaching is here defined as faculty and student interaction or faculty support activities in which the focus is on student gains in skills, knowledge, understanding, and personal growth. This definition clearly encompasses traditional classroom instruction but it also includes a broad array of less traditional activities.

Common Teaching Activities

Below are listed some of the common teaching activities together with the forms that they might assume.

Group Instruction

1. Instructing students in courses, labs, clinics, studio classes
2. Instructing participants in workshops, retreats, seminars
3. Managing a course (grading, planning, maintaining records)

Advising, Supervising, Guiding, and Mentoring

1. Supervising students in labs and fieldwork
2. Advising and mentoring students
3. Supervising teaching assistants
4. Supervising students with internships and clinical experiences
5. Supervising students in independent study
6. Directing or serving as a reader on student research projects, theses, and dissertations
7. Advising co-curricular activities

Developing learning activities

1. Developing, reviewing, and redesigning courses
2. Developing and revising curriculum
3. Developing teaching materials, manuals, software
4. Developing and managing distance learning courses
5. Developing computer exercises
6. Conducting study-abroad programs

Developing as a teacher

1. Evaluating teaching of colleagues
2. Conducting instructional and classroom research
3. Attending professional development activities

Factors Used for Evaluation of Teaching

Guidelines and criteria for the evaluation of teaching are based on common teaching activities such as those listed above. Adequate evaluation of teaching requires consideration of a variety of factors concerning these activities. Departments/schools must use two or more types of factors to evaluate teaching performance, one of which shall be student reactions to teaching performance. The following items include but are not limited to examples which may be used to identify meritorious teaching:

1. A record of solidly favorable student reactions to teaching performance;
2. Favorable teaching ratings by peers through review of instructional materials;
3. Favorable teaching ratings by peers through classroom observation;
4. Favorable teaching reactions by alumni;
5. Evidence that the faculty member's students experience cognitive or affective gain as a result of their instruction;

6. Syllabi from various courses that feature clarity of instructional objectives, clear organization of material, and equitable and understandable criteria for the evaluation of student work;
7. Breadth of teaching ability as this is illustrated by effective teaching in different classroom settings, effective teaching of different types of students, preparation of new courses, or significant modification of established courses;
8. Evidence of meritorious supervision of students in independent studies, internships, clinical experiences, laboratories and fieldwork;
9. Creditable advising and mentoring of students in their preparation of research projects, theses, and dissertations;
10. Significant involvement in sponsoring student organizations and co-curricular activities;
11. Development or review of teaching materials (textbooks, workbooks, reading packets, computer programs, curriculum guides, etc.);
12. Development of new teaching techniques (videotapes, independent study modules, computer activities, instructional technologies, etc.);
13. Service as a master teacher to others (conducting teaching workshops, supervising beginning teachers, coaching performances, etc.);
14. Recognition of meritorious teaching by winning teaching awards;
15. Writing successful competitive grant proposals related to teaching.

Criteria for the Evaluation of Scholarly and Creative Productivity

The term "scholarly and creative productivity" comprises a variety of activities, including those typically defined as research. Because activities considered to be scholarly and creative productivity vary considerably from discipline to discipline, the University recognizes that scholarly and creative productivity includes all forms of discovery and integration of knowledge, critical analysis, and products and performances.

Definition of Research

A large subset within the area of scholarly and creative productivity is commonly called research. The term "research" has been defined by the University Research Committee and the faculty evaluation system shall continue to recognize the University Research Committee's definition of research and modes of documenting research. The University definition for research is given below:

A formal procedure which contributes to the expansion of basic knowledge or applies such knowledge to the solution of problems in society or exemplifies creative expression in a specific field of study. The results of research are communicated to professionals outside the University through a peer reviewed process in a manner appropriate to the discipline.

The University recognizes both the scholarship of discovery and scholarship of integration. The scholarship of discovery contributes to the stock of human knowledge and involves the pursuit of new knowledge for its own sake. The scholarship of integration interprets, draws together, and brings new insight to bear on original research.

Evaluation Guidelines and Criteria for Scholarly and Creative Productivity

The evaluation of scholarly and creative productivity requires consideration of a variety of factors and must consider the quality and significance of each contribution. Factors used to evaluate meritorious scholarly and creative productivity include but are not limited to:

1. Authorship or co-authorship of peer-reviewed published materials such as journal articles, abstracts, monographs, books, book chapters, cases, artistic works, software, or other professional and technical documents;
2. Authorship or co-authorship of published materials such as editorially reviewed books, articles, abstracts, translations, software, cases, artistic works or other professional and technical documents;
3. Production and presentation of radio and television works, films and videos related to the scholarly or creative discipline;
4. Refereeing or editing journal articles, grant proposals, and book manuscripts;
5. Presentations and papers delivered at local, regional, national and international meetings;
6. Performances, exhibitions, and other creative activities locally, regionally, nationally and internationally;
7. Managing or serving as a consultant for exhibitions and performances;
8. Obtaining competitive external or internal grants related to scholarly and creative productivity;
9. Writing and submitting proposals for competitive grants, internal or external, related to scholarly and creative productivity;
10. Writing and submitting required grant and contract reports;
11. Receiving internal or external awards obtained for scholarly or creative productivity;
12. Providing evidence that scholarly or creative works have been submitted for review;
13. Documenting scholarly or creative works in progress.

Criteria for the Evaluation of Service

Illinois State University recognizes under the category of service two major sub-categories: professional service and university service. Professional service is the application of faculty professional expertise to needs, issues, and problems in service to professional associations as well as to business, government, not-for-profit enterprises, and the general citizenry. University service is the application of faculty expertise to the operation and governance of the University, including academic programs, departments/schools, colleges, and other components of the University.

Evaluation Guidelines and Criteria for Service Activities

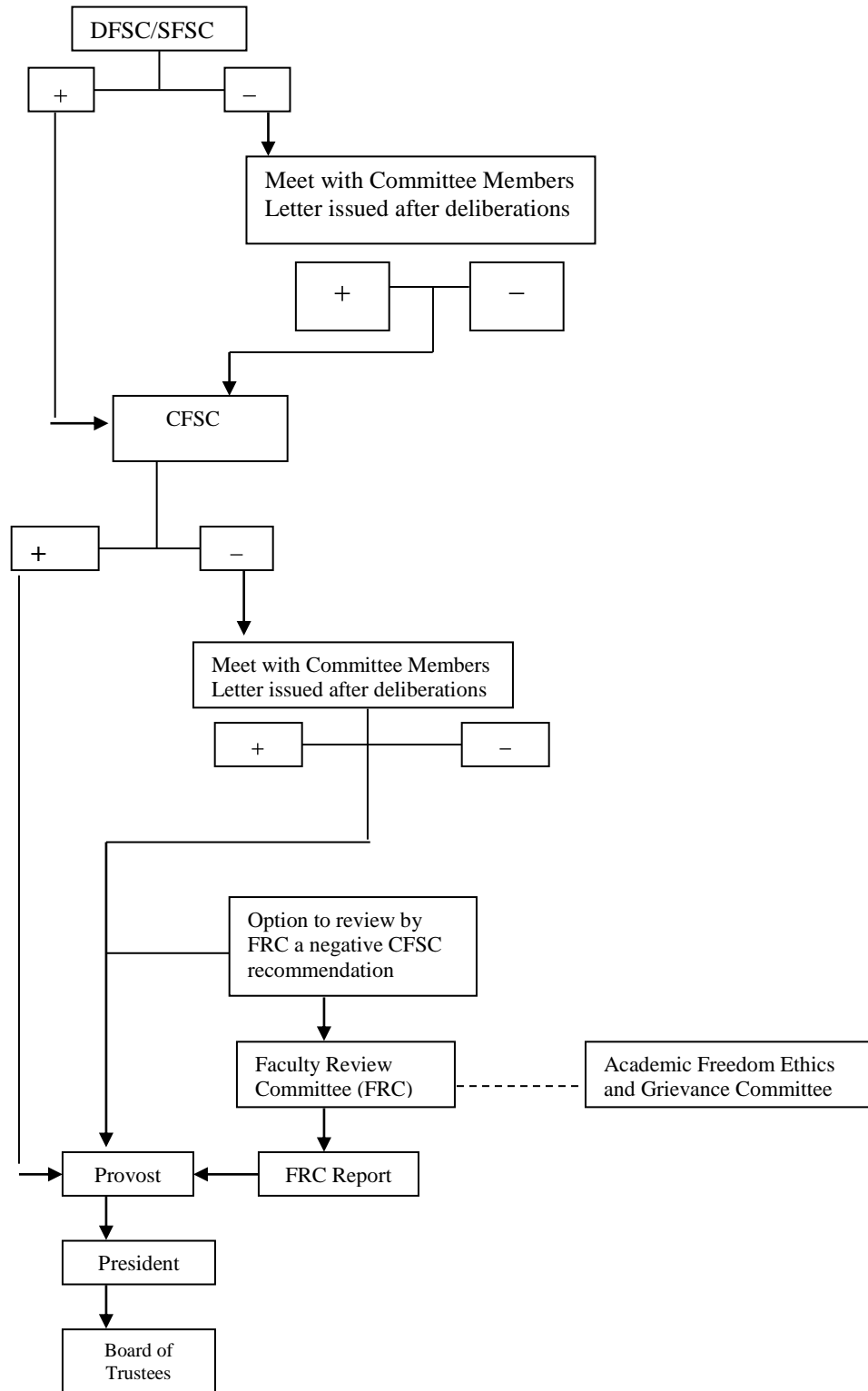
The evaluation of service requires consideration of a variety of factors that include both professional service and university service. Factors used to evaluate service include but are not limited to the following:

1. Holding office or completing a major assignment with a national or regional professional organization;
2. Consultation and service to civic organizations, social agencies, government, business, or industry that is related to the faculty member's teaching, research, or administrative work at Illinois State University;
3. Holding office or completing a major assignment in professional organizations;
4. Responsibility for planning workshops, seminars, or conferences for department/school, college, or University groups;
5. Chairing or leading department/school, college or university committees;
6. Nomination for or receipt of an award that recognizes service to department/school, college, university, or to groups outside of the university;
7. Serving as program chairperson (state, regional, national or international);
8. Serving as consultant, advisor, board member to educational, civic, social, business or other groups;
9. Serving on accreditation or evaluation teams;
10. Chairing a professional session (state, regional, national or international);
11. Writing and submitting competitive grant or contract proposals for activities related primarily to service;
12. Obtaining a competitive grant or contract for activities related primarily to service;
13. Service on a university, college or department/school committee;
14. Administering areas or programs within the department/school, college, or university.

APPENDIX 3
College Standards Supplemental
to University Guidelines and Criteria for Faculty Evaluation

(See College website for current College Standards.)

APPENDIX 4 Outline of the Promotion and Tenure Review Process



The recommendations of all review reports (DFSC/SFSC, CFSC, FRC, Provost) are forwarded to the President.