

Department of Physics

FACULTY STATUS COMMITTEE Appointment, Evaluation, Salary, Promotion, and Tenure Guidelines

Approved: 12/14/2018

CONTENTS

<u>TOPIC</u>	<u>PAGE</u>
Introduction	1
Department Mission and Goals	1
Organization, Selection, and Duties – DFSC	2
External Reviewers	4
Promotion	5
Tenure.....	6
Faculty Assignments, Evaluation, and Salary	7
Termination of Employment Policies and Disciplinary Actions.....	8
Appendix A—Evaluation Criteria: Quality Tiers	9
Appendix B—Journals and Books	13
Appendix C—Salary Procedures	14
Appendix D—Faculty Productivity Report format	15
Appendix E—Procedures for Review of ASPT Document.....	19

Part I. Introduction

Recognizing the diversity within the Department of Physics, the guidelines below represent an attempt by the DFSC to provide a framework for determining performance evaluation, salary, promotion, tenure, and post-tenure review while at the same time setting forth specificity and standards of quality. The qualitative tiers are not intended to be all-inclusive nor are criteria immutable. While the DFSC recognizes the need for flexibility in administering these guidelines, it is emphasized that the guidelines are intended to reduce ambiguity and subjectivity.

The DFSC will evaluate carefully the quality of teaching, scholarship and service of faculty rather than simply providing a quantitative analysis of activities. The DFSC evaluation will take into account faculty accomplishments in teaching, scholarship, and service that genuinely advance the mission of the Department and University. In all cases, the goal of the DFSC guidelines is to promote excellence in teaching, scholarship, and service and to reward professional performance of high quality.

These Guidelines are designed to be consistent with and to supplement the University ASPT Policies and the College of Arts and Sciences Standards.

Part II. Department Mission and Goals

The central mission of the Department of Physics is to provide the premier undergraduate physics program in Illinois. To fulfill and support that mission, the Department will maintain a strong set of degree sequences and general education courses, foster excellent teaching, provide a superior learning environment, support quality research and scholarship, offer meaningful public outreach activities, and increase access to its programs for students throughout Illinois.

The goals of the Department of Physics are to:

- provide a high quality undergraduate physics experience, offering physics and physics teaching degrees as well as innovative programs in computational physics and physics/engineering.
- exhibit leadership in education and curriculum development on a national level, with a particular emphasis on computational physics education.
- carry out research and scholarship that are recognized on a national/international level and that provide a supportive learning environment in which undergraduate students are active participants.
- maintain the preeminent undergraduate physics teacher education program in Illinois.
- develop and maintain effective courses that support the University-wide commitment to general education.
- provide a strong outreach program that extends to members of the campus, the wider community, and the profession

Part III. Organization, Selection, and Duties DFSC

A. Organization

The DFSC shall be composed of the Department chairperson and three additional faculty members. At least two of the three additional faculty must be tenured. The Department chairperson shall serve as committee chairperson.

B. Selection

DFSC members shall be elected by the Department faculty using a secret ballot at a Department meeting to be held each spring semester, between April 1 and May 1. If no person receives a majority of the votes cast on the first ballot, a run-off election shall be held between the two persons receiving the most votes on the first ballot. The person receiving the most votes in the run-off election shall be declared elected. In the event of a tie, the contenders shall draw straws. The transition of responsibility from the outgoing member of the DFSC to the newly elected member of the DFSC shall be completed by the beginning of the fall semester following the election.

Absentee ballots are allowed if requested ahead of time. Absentee voters should rank-order their votes so their second and third choices can be used in the case of run-off elections.

Faculty members shall be eligible to serve on the DFSC only if they have a tenure/tenure-track appointment, have completed at least one regular semester of full time service at the rank of assistant professor or higher within the Department, and are not otherwise ineligible to serve. A faculty member may not be elected to more than two consecutive terms, but may be re-elected after a lapse of one year.

DFSC members shall serve two-year terms. Separate elections shall be held for each member's term. If a vacancy occurs on the DFSC during an academic year, a special election will be held to fill the remaining term. If a faculty member cannot serve, or is on leave (including sabbatical leave) during part of his or her term, a special election will be held for the period of absence.

Each Department faculty member having a tenure/tenure-track appointment who has completed at least one regular semester of full-time service within the Department shall be eligible to vote in the election of DFSC members and to vote on the adoption or modification of the present document.

The present document may be adopted or modified by majority vote of all eligible Department faculty.

C. Duties

The DFSC shall review the Department appointment, evaluation, salary, promotion, and tenure guidelines in accordance with evolving Department needs.

The DFSC shall review and respond to requests from the CFSC and/or the University Review Committee.

The DFSC shall gather annual faculty productivity reports, in accordance with College Standards, and faculty course evaluations.

The DFSC shall evaluate the performance of each faculty member and make recommendations with regard to pre-tenure reappointment, performance evaluation, salary, post-tenure review, promotions, and tenure.

The DFSC shall inform faculty members of performance evaluations and provide an annual written appraisal of each faculty member's performance via a letter signed by each DFSC member. In the case of a recommendation regarding promotion or tenure, it is expected that the DFSC will usually reach a unanimous decision. The annual written appraisal from the DFSC shall provide a good-faith estimate of progress towards meeting the requirements for tenure to tenure-eligible faculty. The DFSC shall similarly report in writing a good-faith estimate of progress towards meeting the requirements for promotion to all faculty members who have not yet obtained the rank of Professor. These annual written estimates can not provide any guarantees. Final promotion and tenure recommendations are to be made by the DFSC in accordance with appropriate sections of these Guidelines.

In the case of a tie vote on an issue, the DFSC will make all reasonable efforts to collect additional information and extend discussion to resolve the tie vote. If the issue remains tied after such efforts, the tie vote is forwarded to the College.

In accordance with the College ASPT Standards, the DFSC will conduct a review of probationary faculty members to assess their progress toward tenure. This review will be conducted in the third or fourth year of the probationary faculty member's residence at Illinois State University. Typically a

third year review will be performed for theoretical and computational physicists and a fourth year review for experimentalists, unless the candidate requests otherwise and the DFSC approves the request. For faculty who are awarded service credit toward tenure upon hire, the review will be performed at the half-way point of their probationary period, unless the probationary period is shorter than three years, in which case the review will occur the semester immediately following the candidate's first semester at Illinois State. The committee will consider and evaluate the candidate's progress toward tenure in light of the scholarly, teaching, and service expectations stated in Part IV, Section A of the Physics Department ASPT document, as well as appropriate sections of the College and the University ASPT documents. Upon completion of the evaluation, the committee will meet with the faculty member and discuss their findings. The purpose of this review is to be informative for the candidate and the results of this review will have no status in the final determination of tenure at the end of the candidate's probationary period.

The DFSC shall conduct five-year, cumulative post-tenure reviews of tenured faculty members in compliance with the University Faculty ASPT Policies. Cumulative post-tenure reviews are required for faculty evaluated as unsatisfactory in two consecutive years, and are at the discretion of the DFSC in other cases. DFSC members will not take part in any deliberations of the DFSC involving her or his post-tenure review. In the event the DFSC recognizes a serious unresolved deficiency following a post tenure review, the DFSC shall work in conjunction with the faculty member to develop a remediation plan in accordance with the University ASPT document.

The DFSC shall maintain strict confidentiality of all DFSC deliberations and documents.

D. Faculty Search Committee

The Faculty Search Committee will be responsible for recruitment and interviewing of new faculty in consultation with the general department faculty and staff. The Faculty Search Committee will be composed of all tenured and tenure-track faculty in the department.

The DFSC will function as the executive committee of the Faculty Search Committee and be responsible for dissemination of candidate dossiers to the Faculty Search Committee, arranging interview schedules, and making recommendations for appointment based on input from the entire Faculty Search Committee and general department faculty and staff.

The Faculty Search Committee shall maintain strict confidentiality of search committee deliberations.

Part IV. External Reviewers for Promotion and Tenure

In accordance with the College ASPT Standards, the DFSC will obtain letters from external reviewers in all tenure and promotion cases. Each candidate for tenure or promotion will deliver to the DFSC by September 1 a list of three or more potential external reviewers of that candidate's scholarly achievements. The list should contain a brief description of the candidate's professional connection with each reviewer. The DFSC will ensure that review letters are obtained from at least the minimum number of reviewers required by the College ASPT guidelines, and may choose reviewers not on the candidate's list, in consultation with the candidate, in order to obtain the requisite number of letters. To ensure the integrity of the reviews, the final selection of reviewers will be determined by the DFSC. The DFSC will attempt to ensure that at least one of the letters comes from a colleague at a predominantly undergraduate institution, in recognition of the unique circumstances surrounding purely undergraduate research. The DFSC will give lesser weight in its deliberations to reviews that indicate little understanding

of scholarship in an undergraduate-only environment. All letters will be kept strictly confidential unless a letter author gives written permission for the candidate to see the letter. Letters will be used in promotion and tenure deliberations whether the authors give permission for the candidate to see them or not.

Part V. Promotion

While these Guidelines attempt to define Department standards of quality performance of faculty, and many of those standards are necessary conditions of success, no single quantitative standard can be taken as sufficient for promotion. The DFSC must examine the total record of the faculty member, within a context of the University Policies and College Standards and Department mission and promotion patterns, to make such judgments. Candidates for promotion must meet or exceed both College and Department standards for promotion. Each year the DFSC will provide a written appraisal of a faculty member's progress toward promotion for each faculty below the rank of professor. A DFSC member who is being considered for promotion will not take part in any deliberations regarding promotion cases.

A. Promotion from Assistant Professor to Associate Professor

The candidate should have demonstrated high quality accomplishments in teaching, scholarship, and service, with a record that indicates sustained professional growth with increasing external recognition and validation of professional contributions. The candidate must show evidence of potential for continued professional growth and development. The quality tiers referred to below are characterized in Appendix A.

- Scholarly Expectations--Candidate must have maintained or initiated an original and productive program of high quality research or scholarly activity at Illinois State University. Publication rates should meet or exceed the minimum rate as established by Department patterns for promotion to Associate Professor.
- Teaching Expectations--Candidate must have demonstrated high quality performance and productivity in teaching, including direct classroom instruction and, where appropriate, instruction in less formal settings such as guidance of student research. The DFSC looks very favorably upon external validation of quality teaching. Student evaluations, peer evaluations or evidence of cognitive gain must be at least tier III quality.
- Service Expectations--Candidate must have served satisfactorily on institutional committees or assumed responsibility for organizing and conducting Departmental administrative duties. Candidate should also demonstrate concern for the profession and their professional growth by participating in professional organizations.

A ranking of satisfactory on an annual evaluation indicates that the faculty member has met the minimum standards to be eligible for a raise. It does not necessarily indicate adequate progress towards promotion to Associate Professor. Each year the DFSC will provide a written appraisal of an Assistant Professor's progress towards promotion to Associate Professor.

B. Promotion from Associate Professor to Professor

The candidate's professional activities since his/her last promotion shall be of such exceptionally high quality as to deserve the awarding of this high rank. The total record should indicate sustained professional growth with increasing external recognition and validation of professional contributions. Emphasis should be given to professional activities since the last promotion. The

rank of Professor is bestowed in recognition of having achieved a certain stature that depends primarily on the quality and quantity of teaching, scholarship, and service.

- Scholarly Expectations--Candidates must have maintained an original and productive program of high quality research or scholarly activity. Publication rates should meet or exceed the minimum rate as established by Department patterns for promotion to Professor.
- Teaching Expectations--Candidates must have demonstrated high quality performance and productivity in teaching, including both direct classroom instruction and, where appropriate, less formal settings, such as guidance of student research.. The DFSC looks very favorably upon external validation of quality teaching. Student evaluations, peer evaluations or evidence of cognitive gain should be at least tier II quality.
- Service Expectations--Candidates must have demonstrated the ability and willingness to serve satisfactorily on institutional committees or to assume responsibility for organizing and conducting departmental administrative duties. Candidates should also demonstrate concern for the profession and their professional growth by participating in professional organizations.

A ranking of satisfactory on an annual evaluation indicates that the faculty member has met the minimum standards to be eligible for a raise. It does not necessarily indicate adequate progress towards promotion to Professor. Each year the DFSC will provide a written appraisal of an Associate Professor's progress towards promotion to Professor.

C. Promotion documentation

The candidate and the DFSC, in accordance with the College of Arts and Sciences Tenure and Promotion application, are responsible for creating the documentation justifying promotion. This documentation should conform to College standards and University policies. After a draft of the documentation has been created, but before it is submitted to the CFSC, the candidate for promotion should be afforded the opportunity to review the documentation. Each candidate for promotion has an unqualified right to examine all materials that are considered by the DFSC in making promotion decisions, including but not limited to the written material in his or her promotion packet, with the exception of external review letters.

Part VI. Tenure

While this document attempts to define the standards of quality performance of faculty, and many of those standards are necessary conditions of success, no single quantitative standard can be taken as sufficient for award of tenure. The DFSC must examine the total record of the faculty member, within a context of the University ASPT Policies and College Standards and Department mission and tenure patterns, to make such judgments. Candidates for tenure must meet or exceed both College and Department standards for tenure A ranking of satisfactory on an annual evaluation indicates that the faculty member has met the minimum standards to be eligible for a raise. . A ranking of satisfactory on an annual evaluation does not necessarily indicate adequate progress towards tenure. Each year the DFSC will provide a written appraisal of a faculty member's progress toward tenure for each faculty with a probationary appointment.

A. Criteria and procedures for tenure

The record of the tenure applicant must include several tier I accomplishments in scholarly productivity and in teaching. All successful tenure applicants must have a record including peer-reviewed publications since initial appointment and be meritorious teachers. For the purpose of tenure evaluation, manuscripts that are accepted but not yet in print will be considered by the

DFSC. Publication rates should meet or exceed the minimum rate as established by Department patterns for award of tenure.

There must be evidence of continuing high quality professional performance during the probationary period with particular emphasis upon quality classroom teaching (including student input about the quality of teaching) and research. It is also understood that when a judgment for tenure is made there is an expectation by the Department for the high quality performance to continue.

During the probationary period, faculty are encouraged to participate appropriately in Department and University service activities. However, extensive service by untenured faculty that interferes with the development of a record of high quality teaching and scholarly productivity is discouraged by the DFSC.

The candidate's competencies must be in keeping with the long-range goals of the Department and the University if tenure is to be recommended by the DFSC. The candidate must have demonstrated the capability to work responsibly and knowledgeably toward the goals of the Department and the University.

Evaluation of a faculty member by the DFSC during the probationary period is a continuing process that avoids a single judgment in the final year before the tenure recommendation is to be made. The DFSC will communicate to the probationary faculty member areas of both strength and weakness in progress toward tenure. Note that an annual evaluation of "satisfactory" each year (see Section VII.B) means only that the minimum level of performance was achieved, while the tenure criteria require more than minimum levels of performance.

B. Tenure documentation

The DFSC is responsible for creating the documentation justifying tenure. This documentation will conform to College Standards and University Policies and will include a comprehensive and current curriculum vitae as well as all written appraisals of the candidate since initial appointment. After a draft of the documentation has been created, but before it is submitted to the CFSC, the candidate for tenure will be afforded the opportunity to review the documentation and make suggestions regarding revisions to the DFSC. However, the DFSC is responsible for final approval of the documentation. Each candidate for tenure has an unqualified right to examine all materials that are considered by the DFSC in making tenure decisions, including but not limited to the written material in his or her tenure packet, with the exception of external review letters.

Part VII: Faculty Assignments, Evaluation, and Salary

A. Faculty assignment and assignment letter

The Chairperson will provide each faculty in the Department with a written assignment letter for the next evaluation year by July 1 of the year preceding the evaluation year. This letter will provide the faculty assignments in general terms, including courses assigned and release time. If specific courses are not indicated in the general assignment letter on July 1, the Chairperson will provide an amendment letter with specific courses assigned to the faculty member as soon as course scheduling needs are clarified, but no later than two months before the start of a semester. Any other adjustments to a faculty assignment letter should be arrived at after significant consultation between the Chairperson and faculty member and finalized in an amendment letter.

All faculty of the Department must be quality teachers and engage in significant high quality research or scholarly activity. Faculty should provide service to the University, discipline, and community as the opportunities are presented. Faculty with release time from normal teaching duties will be expected to perform other tasks consistent with the reason for release time (extra scholarly activities or special assignments, for example). In such cases, evaluation will reflect the assignment in a natural way. For example, the fact that faculty with heavier teaching assignments teach more semester hours will be accounted for in the evaluation, while for those with release time for research, increased scholarly productivity will compensate for loss of semester hours taught. Faculty with special assignments will similarly be expected to accomplish compensatory results from the special assignment. In general, faculty will be evaluated only on the applicable areas and not be penalized for failure to perform a function beyond the scope of the written assignment letter.

B. Annual evaluation

Annual performance evaluations, in the form of a letter to each faculty member, will be based on an evaluation of the quality and quantity of a faculty member's scholarship, teaching, and service responsibilities as outlined in the general assignment letter and any amendment letters. Faculty will provide the DFSC annually with faculty productivity report (FPR), as presented in Appendix D, as well as an updated Curriculum Vitae in both hard copy and electronic formats. These materials may be supplemented with materials providing samples of those presented in the FPR. The FPR, the CV, and any supporting materials will be supplemented with student evaluations of teaching. No anonymous communications, other than student evaluations, or other hearsay may be used by the DFSC in developing the performance evaluations. A DFSC member will not take part in any deliberations involving his or her pre-tenure appointment case or annual evaluation.

As required by University ASPT policy, each evaluation letter will state whether the faculty member has exhibited overall satisfactory or unsatisfactory performance for the evaluation year. The minimum level of "Satisfactory performance" in one of the faculty functions of teaching, research or scholarship, and service requires at least one professional accomplishment of tier II quality or two professional accomplishments of tier III quality in the appropriate area. "Overall satisfactory performance" requires satisfactory performance in both teaching and scholarly activity. In all cases, faculty are evaluated based on the annual assignment letter, and exceptions to this overall satisfactory criterion can be made, at the judgment of the DFSC, in cases when the assignment does not include either teaching or scholarship. Faculty not meeting the requirement for overall satisfactory performance are considered to have exhibited "unsatisfactory performance" during the evaluation year, and are not eligible for a raise based on performance in that year.

C. Scholarly productivity

The evaluation of scholarly publications involves two aspects. One aspect is the quality and reputation of the outlet. The other is the quality and significance of the work itself. Publication in prestigious outlets in general enhances individual, Department, and University reputations more than identical publications in lesser outlets.

Appendix A defines quality tiers I, II, and III as a guide for faculty research and scholarship. Appendix B provides guidelines for the overall quality of journals and publishers.

D. Teaching and Service

Appendix A defines quality tiers I, II, and III as a guide for faculty teaching and service activities.

E. Salary

The DFSC shall conduct an annual salary review for all faculty members. The DFSC is responsible for final approval of salary recommendations. DFSC deliberations on salary will follow the process described in Appendix C.

Termination of Employment Policies and Disciplinary Actions

The Department will follow the policies specified in University ASPT policies.

Appendix A

Evaluation Criteria – Quality Tiers

The professional accomplishments listed below serve as examples of the quality and types of effort that belong in each tier. Tier I represents the highest quality professional accomplishment, which usually involves external recognition. The value of an accomplishment, or the rate of productivity, is determined by the DFSC based on the quality and scope of the journal article, book, grant, or other professional accomplishment. The tiers serve to indicate quality of professional accomplishment and are not simply discrete units of measure. Annual evaluation letters will generally emphasize quality of accomplishments. Faculty are encouraged to address questions regarding interpretations of quality professional accomplishments to the Department Chairperson who may consult with the DFSC.

Research and Scholarship

Tier I Professional Accomplishments

Publication of invited research articles/chapters in major monographs/books or journals;

Publication of articles in major journals;

Writing successful competitive research grant proposals from prestigious external sources;

Publication of research related or graduate-level books published by major internationally recognized publishers;

Publication of high quality original textbooks, subject to peer review or editorial review, and published by major internationally recognized publishers;

Publication of professional computer software either published by internationally recognized publishers or of international importance as demonstrated by a significant number of cited references to the software in the refereed literature or by documented sales;

Major invited presentations at national/international conferences;

College, University, or external research and scholarship awards such as the College of Arts and Sciences Outstanding Researcher Award.

Tier II Professional Accomplishments:

Invited presentations at national/international conferences;

Major presentations delivered at national/international meetings;

Continued progress in long-term scholarly pursuits with a promise of external recognition such as constructing laboratory apparatus, developing professional computer software with potential external recognition, or participating in research activity requiring several years to bear fruit;

Writing successful competitive research grant proposals from external sources;

Invited disciplinary talks at Colleges and Universities or major industrial/government research laboratories;

Publication of contributed research chapters/articles in monographs or journals.

Tier III Professional Accomplishments:

Writing successful internal grant proposals;

Submission of competitive external research grant proposals;

Continued progress in long-term scholarly pursuits;

Disciplinary talks in the physics departmental colloquium or seminar series;

Contributed presentations at regional/local meetings, including student forums;

Publication of short contributed papers or abstracts in conference proceedings.

Teaching

Tier I Professional Accomplishments:

Superior student evaluation of teaching and high academic standards;

Superior supervision of students in independent study courses or research;

Publication of invited pedagogical articles/chapters in major monographs devoted to pedagogy;

Publication of teaching-related articles in major pedagogical journals;

Publication of original learning materials, such as textbook supplements, question banks, instructor manuals, etc. by major internationally recognized publishers;

Publication of major pedagogical computer software or computer-aided-instruction modules, either published by internationally recognized publishers or of international importance as demonstrated by a significant number of cited references to the software in the refereed literature or by documented sales;

Writing successful competitive external grant proposals from a prestigious source for activities primarily related to teaching (in-service workshops, teacher institutes, undergraduate curriculum development, etc.);

Invited presentations at major national/international conferences devoted to teaching;

College, university, or external teaching awards such as the College of Arts and Sciences Distinguished Teacher Award;

Superior teaching with appropriately high academic standards as evidenced and documented by carefully prepared and intellectually stimulating class materials and assignments;

Major involvement in curriculum development and revision, such as primary responsibility for creating or modifying the program, a sequence of courses, or developing major new courses.

Tier II Professional Accomplishments:

Above-average student evaluation of teaching and high academic standards;

Major presentations delivered at a national/international meetings related to pedagogical issues;

Effective supervision of students in independent study courses or research;

Evidence that the knowledge of physics gained by the students in the classes taught by the instructor is significantly above the departmental average;

Writing of notes for classroom use with potential for publication by major publishers;

Publication of teaching-related articles in pedagogical journals;

Publication of original learning materials, such as textbook supplements, question banks, instructor manuals, etc. by regional and lesser national publishers;

Development of quality original classroom materials, lecture notes, textbook drafts, new lab manuals, computational pedagogy, etc. that may be published regionally and that go beyond normal course maintenance and development;

Above-average teaching with high academic standards as evidenced and documented by appropriately stimulating assignments.

Tier III Professional Accomplishments:

Acceptable student evaluation of teaching;

Writing successful internal grants for purposes of teaching improvement; substantive involvement in curriculum development and revision; breadth of teaching ability;

Publication of articles in lesser pedagogical journals;

Publication of original learning materials, such as textbook supplements, question banks, instructor manuals, etc. by local publishers;

Course development such as significant lecture note rewrite, lab manual updates, and computational projects for in-house use;

Service

Tier I Professional Accomplishments:

Major offices or assignments with multi-state, national, or international professional organizations;

Major consultation and service to entities outside the University, provided the activities are related to teaching, research, or administrative work at ISU;

Major editorial responsibilities for major books or journals;

Major responsibilities at the University level, such as Chair of the Academic Senate, Chair of major University or College committee, etc., as determined by the DFSC;

Other exceptionally noteworthy professional service that makes a significant contribution to the University or that is widely acclaimed outside the University.

Tier II Professional Accomplishments:

Major offices or assignments in state professional organizations;

Minor offices or assignments with multi-state, national, or international professional organizations;

Minor consultation and service, including refereeing and reviewing, to entities outside the University, provided the activities are related to one's teaching, research, or administrative work at ISU;

Major assignments at the University or College level, such as Senate or CFSC; chairing department committees or other noteworthy Department service, e.g., superior performance in special assignments;

Significant contribution to the University, College, or Department beyond the usual committee work (program review, academic planning, etc.);

Major editorial responsibilities for books or journals by lesser publishers.

Tier III Professional Accomplishments:

Major offices or assignments in local professional organizations;

Minor offices or assignments in state professional organization;

Presentation of a speeches or demonstrations within or outside the University but outside the usual lecture responsibilities;

Department committee memberships or similar assignments.

Appendix B

Journals and Books

General Statement

• **Journals:** Basic research in physics is a dynamic enterprise. New research areas open at the same time that older ones either branch out into new subfields or develop into modern research areas. The number of major research journals is large and evolving, with major new journals coming into existence and older ones taking on new relevance. *All journals should have a policy of rigorous peer review.*

• **Books:** As the basic research in physics evolves and the understanding of new and old concepts is developed, the writing of books, from introductory textbooks to advanced monographs, becomes more and more urgent. Therefore, book authorship is considered an integral part of scholarly productivity, representing the scholarship of integration and synthesis. All publishers should have a policy of rigorous peer review or editorial review with input from external reviewers.

Tier I

• **Journals:** Any major journal published under the supervision of a scientific editorial board of international recognition is considered acceptable for tier I scholarly/teaching productivity.

• **Books:** Any major publisher with an international reputation is acceptable for tier I scholarly and teaching productivity. Generally, monographs on advanced topics and high quality original textbooks are to be considered scholarly productivity, while educational materials are to be included in teaching productivity.

Tier II

• **Journals:** Journals in this group are circulated nationally but have lower refereeing standards than tier I, and include such journals as *The Physics Teacher*, which is aimed mainly at high school teachers.

• **Books:** Publishers in this group are local or state organizations. However, only books which have a circulation that stretches beyond ISU are acceptable from such publishers.

Tier III

• **Journals:** Journals in this group are relatively rare in physics, but would include journals for regional and state level societies such as the *Illinois Section of the American Association of Physics Teachers*.

• **Books:** Publishers in this group are also relatively rare in physics, and would include local and in-house publishing, typically without editorial or peer review.

Appendix C

Department Salary Procedures

The Department Salary Procedures follow the University ASPT Policies and College of Arts and Sciences Standards. In particular, faculty compensation must promote the highest quality professional work by faculty. Salary review by the DFSC shall take into account both annual performance evaluations, accounting for faculty assignments, and career productivity. In addition, equity factors such as market-driven salary compression and previously uncompensated performance will be considered. In the salary review process, professional accomplishments pursuant to the teaching and scholarly roles of faculty will usually have greater emphasis relative to those pursuant to the service role.

After DFSC review of faculty salaries and annual performance evaluations, the Chairperson of the DFSC will develop an annual salary plan, based on the salary review, that includes a proposed salary increment for each raise-eligible faculty who has met minimum satisfactory performance standards. The salary increment will be comprised of two parts: a standard increment (20% of department funds) and a performance-evaluated increment (80% of department funds). The maximum spread in the percentage of the performance-evaluated increments (80 % of department funds) for all eligible faculty each year generally will not be greater than a factor of two (2). The annual salary plan will be directed toward ensuring that faculty salaries are consistent with performance and contributions to the department, in both the short-term and the long-term.

The Chairperson of the DFSC will present the proposed salary plan, not including the salary increments of DFSC members unless each member agrees in writing, to the DFSC. The DFSC may provide input to the plan based on its review of faculty salaries and annual performance evaluations. The proposed salary plan including any adjustments resulting from DFSC input, but excluding DFSC member salaries, must be approved by a majority of the DFSC. Salaries of DFSC members will be handled using a similar process except that each DFSC member will not be present when his or her salary is discussed or approved by the DFSC.

The Chairperson of the DFSC will prepare a salary notification letter for each faculty indicating the standard and performance-evaluated increments for the individual faculty and summary salary information for the entire Department. The salary notification letter for each faculty will include an explanation of the specific basis for the performance-evaluated increment.

This Appendix will be reviewed every two (2) years.

Appendix D
ISU Physics Department: FACULTY PRODUCTIVITY REPORT format

Calendar Year _____

Note: in cases where the classification (teaching, scholarship, or service) or Tier 1/2/3 designation for an accomplishment may be debatable, please give your best estimate, with rationale.

I. General Information

Name, Title, Department, Date of Appointment, Date of Rank, Highest Degree Held, Date of Degree

II. Teaching Productivity

- A. *Classes taught by semester including enrollment*
 - 1. Describe course improvements, if any
 - 2. Explain assessment of student learning, if any

- B. *Thesis, independent study, or other independent academic work with students*
 - 1. Undergraduate research
 - (i) specify students; list and describe their accomplishments
 - (ii) if shared, explain arrangement with other mentors.
 - 2. Independent study: specify students, topic, and outcomes

- C. *Course proposals, curriculum reviews and/or other curriculum development activities*
 - 1. Describe course/curriculum development motivation and goals
 - 2. Explain course/curriculum development particulars: what did you do?
 - 3. Discuss assessment of results, if any

- D. *Advisement, club sponsorship, and/or other out-of-class work with students.*
 - 1. Describe accomplishments outside normal advising responsibilities

- E. *Experimental work in instruction including evaluation if available*
 - 1. Describe implementation of new pedagogies or teaching methods, with assessment of effectiveness (other course development should be listed under II.C)

- F. *Professional publications, presentations or other creations related to teaching*
 - 1. Articles related to teaching/curricula/out-of-class experiences
 - 2. Books related to teaching/curricula/out-of-class experiences, and books intended primarily as textbooks
 - 3. Presentations related to teaching/curricula/out-of-class experiences
 - (i) specify type: invited conference, invited colloquium, contributed conference, etc.
 - (ii) specify presenter
 - 4. Other creations related to teaching/curricula/out-of-class experiences (e.g. software, demonstrations, etc.)

- G. *Instructional activities outside assigned classes*
1. Invitations to guest lecture in other courses
 2. Presentation of workshops on or off campus
 3. Master Teacher presentations and mentoring

- H. *Awards or honors for teaching*
1. Internal
 2. External

- I. *All other teaching activities*

III. Scholarly Productivity

- A. *Publications (give full citations) with suggested Tier 1/2/3 designations*
1. Refereed Journal Articles
 2. Scholarly books
 3. Refereed articles or chapters in books
 4. Unrefereed publications
- B. *Presentations (give full citations) including the date and group to which presented*
1. Invited conference presentations (specify whether presenter or co-author)
 2. Invited seminars/colloquia (specify whether presenter or co-author)
 3. Contributed conference presentations (specify whether presenter or co-author)
 4. Other presentations (do not list student-presented ISU/Argonne/ISAAPT talks here, they belong in II.B.1.)
- C. *External grants applied for and/or received*
1. Funding agency, your role (PI, co-PI, other), grant title, amount, description of project. For multi-year grants give amount for the current evaluation year and for the life of the grant.
- D. *All other scholarly activities*
1. Note: the Blue Book lists refereeing as a scholarly activity; in the physics ASPT document we consider it external service: list these activities in IV.B.

IV. Service Productivity

- A. *Internal (list dates of service for each item)*
1. Departmental committee Chair/coordinator: please provide a summary of your committee's accomplishments for the evaluation calendar year
 2. Departmental committee member: brief summary of your involvement
 3. College level committees/task forces: brief summary of your involvement
 4. University level committees/task forces/Senate: brief summary of your involvement
 5. Outreach activities within ISU & lab schools
 6. Other internal service (search committees, special assignments, *etc.*)
- B. *External (list dates of service for each item)*

1. Service to your professional/research community (offices held in prof. organization, conference sessions initiated/chaired, serving on panels, etc.)
2. Outreach activities beyond ISU community
3. Refereeing for journals, books, funding agencies, including proposal review panels: please list only refereeing tasks completed in the evaluation calendar year
4. Other external service

In addition to your Faculty Progress Report, please submit a detailed up-to-date vita in MS Word, RTF, or plain text format, as well as a printed copy. Your C.V. should contain enough information for the DFSC to assess your career accomplishments.

Appendix E
Procedures for Review of ASPT Document

Every year, by March 31, the DFSC shall review the departmental policies and procedures based on that academic year's work and any informal faculty input, in order to identify areas that may need updating, either immediately or at the next five-year review.

At least every five years, the DFSC shall formally invite input from department's faculty at a department meeting regarding recommended revisions to the department policies and procedures, including recommended updates to areas of policy that reflect innovations, cutting-edge types of productivity, and changes in scholarly/creative/pedagogical topic areas and methods. Based on this input, the DFSC shall present to the faculty the revisions that it endorses. The faculty will vote upon the proposed revisions which, if passed will go into effect on January 1 of the following year



**Addendum to the DFSC's ASPT Guidelines, pertaining to the effects of
the Covid-19 Pandemic on faculty performance**

The worldwide Covid-19 pandemic during 2020 affected people in various and extensive ways, and the best estimate for its subsiding is perhaps sometime in late 2021, assuming an efficacious vaccine is developed, widely available, and administered widely within the U.S. population. For faculty in the Department of Physics (and the rest of Illinois State University), the pandemic's effects on professional performance since the midpoint of the spring 2020 semester is acknowledged, and this addendum presents a good-faith approach for reviewing and evaluating faculty performance for their teaching, research, and service. *To this end, the purpose of this addendum is to guide DFSC deliberations about faculty performance for the full 2020 calendar year, and it may be extended for the 2021 calendar year (and beyond) upon the recommendation of the DFSC and the approval of the department's tenured and tenure-track faculty.*

- I. The DFSC recognizes and supports the following factors from University communications of March and April 2020 and subsequent statements from the President and the Provost presented certain guidance:
 - A. COVID disruptions are an acceptable rationale to “stop the clock” on tenure.
 - B. Departments/schools are still required by University ASPT policy to collect student reactions to teaching performance. Student reactions to teaching for Spring 2020 and for Fall 2020 may not be used in any evaluation (including future tenure/promotion review) except at faculty member's request.
 - C. Cancelled contributions (performances, conference presentations, etc.) “count” as productivity.
 - D. No adjustment to ASPT calendar deadlines.
 - E. Reflection statements, focused on lessons learned from the pivot and plans/goals for future development as an instructor, were encouraged. Faculty can choose to include student survey responses in their evaluation materials.

- II. Given these factors in Section I, the DFSC shall, pertaining to Part VII, Sections A, B, C, and D (as well as Appendices A, B, and C) in the Department's *ASPT Guidelines*, adjust the approach for the review and evaluation of faculty performance during the pandemic. That is:
 - A. The three “quality tiers” of performance expectations in research, teaching, and service give specifics about what kind of work fits a given tier and, most important, presume a “normal” state of affairs for everyone, but *individual* extenuating circumstances may necessitate a faculty member's own request for relief from the circumstances' adverse effects on their performance (e.g., “stop the clock”; see Provost Tarhule's email of Oct. 2, 2020).
 - B. The pandemic is an extenuating, adverse circumstance for *everyone* in differing ways while they still attempt to perform their work to the very best of their abilities with available resources, technological adaptations, and changing social pressures and organizational processes. In other words, “continuing high-quality professional performance” (ISU ASPT IX.C.2) might look different in the current pandemic-impacted context than it did prior to the pandemic.
 - C. Therefore, according to details below in this section, performance expectations may be relaxed such that performance in research, teaching, and/or service may not be graded according to the “quality tiers” but, rather, by the evidence of reasonable, effective performance in any fitting

regard that would pertain to those tiers. Faculty should include evidence and artifacts that document the value or impact of their contributions in the materials they submit for evaluation. Where pandemic effects could apply *and* a faculty member was able to obtain exceptional performance in research, teaching, and/or service as if the pandemic did not exist, such exceptional performance shall be recognized as such. Faculty also may choose to submit narratives contextualizing their work and describing the impact of pandemic-related disruptions, and the DFSC shall give due consideration to such narratives. Particular performance-related provisions for teaching, research, and service during the pandemic period are as follows:

1. Teaching: For the evaluation of one's teaching, according to the University's ASPT document in Appendix 2, under normal circumstances, "Departments and schools must use two or more types of factors to evaluate teaching performance, one of which shall be student reactions to teaching performance" (p. 96). Under the circumstances of the pandemic period, for the evaluation of one's teaching, in place of the usual requirement for student reactions to teaching, the DFSC and chair shall employ points I.B and I.E in the preceding section of this addendum.
 2. Research: The pandemic's effects on one's capabilities to engage in any level of research work may result in significant delays in research productivity during and shortly after the pandemic period. Under the circumstances of the pandemic period, the DFSC and chair shall employ points I.A and I.C in the preceding section of this addendum.
 3. Service: Recognizing that, because of the pandemic's effects, service commitments likely shifted in their prominence, scope, and requirements, which could range from the loss of service opportunities to the magnification of service undertaken.
- D. The pandemic period shall be "bracketed" from all other years just because of its uniqueness, which also is important for promotion purposes. Accordingly, in the case of an application for promotion or for promotion and tenure, the DFSC's evaluation will reflect the unique challenges created by the pandemic under the provisions of Section II.C of this addendum, and the minimum expectations for performance during the pandemic period may also be relaxed as the DFSC sees it fit. Annual performance letters from the DFSC, then, shall state uniformly in all letters the period of time of the pandemic period, that the performance period was unique, and one's performance was evaluated on special grounds (i.e., this Addendum) to established ASPT rules. All other practices for proper content for annual performance letters shall be upheld.

* * *

APPROVED: 30 October 2020


CAS Approved with minor changes: 11 November 2020



College of Arts and Sciences
Office of the Dean
Campus Box 4100
Normal, IL 61790-4100
Phone: (309) 438-5669
Fax: (309) 438-7198

Date: November 11, 2020

To: Pete Smudde
Acting Chair, Department of Physics

From: Anthony Crubaugh
Acting Associate Dean, CAS


Re: CFSC Approval of PHY ASPT Revisions

On November 10 the CAS CFSC voted 7-0 to approve the Department of Physics' proposed ASPT revisions. The revised guidelines become effective January 1, 2021 and will apply to the 2020 calendar year annual evaluation process.

At your earliest convenience please forward to me a finalized "clean" copy of the new ASPT document for CAS records and for posting on the college website. Thanks to you and your colleagues for your good work.

cc: Diane Zosky, Interim Dean, CAS

From: [Crubaugh, Anthony](#)
To: [Smudde, Pete](#)
Cc: [Zosky, Diane](#)
Subject: CFSC Approval of ASPT Revisions
Date: Wednesday, November 11, 2020 12:05:36 PM
Attachments: [PHY Approved Memo.pdf](#)

Hi Pete,

The CFSC approved the proposed ASPT revisions in PHY. Please send a finalized, clean copy at your convenience.

A couple of editorial notes:

I,E: Change “faculty can chose” to “choose”

II,B: Comma after “in other words”

II,B: CFSC wondered if “attempted” should be “attempt” in order to maintain consistency with the present tense (“the pandemic *is* an extenuating...)

Congratulations,
Tony

Anthony Crubaugh
Associate Professor of History
Acting Associate Dean of Arts & Sciences
Illinois State University
Normal, IL 61790-4420
309-438-5669