

ASPT and Salary Allocation Policies – Approved April 5, 2019
Department of Sociology & Anthropology ♦ Illinois State University

Matters discussed in this document are intended to conform to the University and College ASPT policies. In any discrepancy or in items not specifically addressed in the departmental document, the current University ASPT Policy takes precedence. All faculty members are advised to consult the current University ASPT Policy booklet. Per University Policy, V.B.1.a, the DFSC will review the Department ASPT policy annually by March 31st of each year, based on that academic year's work and any informal faculty input, in order to identify areas that may need updating. In the Fall of every 5th year, faculty feedback will be solicited via email regarding changes to the ASPT document. The DFSC will recommend changes to the faculty for their approval.

I. SELECTION, ORGANIZATION, AND RESPONSIBILITIES OF DFSC

A. Composition and Terms of Office

1. The department shall have a Department Faculty Status Committee (DFSC). The DFSC shall consist of five (5) probationary tenure or tenured faculty, one of whom shall be the department chair. The majority of the Committee must be tenured. However, any tenured or tenure-track faculty member who is on Academic/Professional assignment is not eligible to serve on the DFSC.
2. The DFSC shall be chaired by the department chairperson, who will be an ex-officio voting member. There shall be two faculty representatives from Sociology, one from Anthropology, and one member elected at large.
3. The DFSC shall act in accordance with the current Appointment, Salary, Promotion and Tenure Policies of the University as well as the College of Arts and Science's Standards.

B. Procedures for Selection of Members

1. Eligibility to Vote for DFSC Members

- a. For election of faculty members to the DFSC: all full-time probationary tenure or tenured members of the department are eligible to vote. However, any faculty holding academic rank in the department who is on Academic/Professional assignment is not eligible to vote in DFSC elections.
- b. Faculty members on leave shall have voting privileges provided they are at the meeting when such voting takes place or complete the electronic ballot by the election deadline.

2. Election Process

- a. Since the University ASPT policies require that the majority of the DFSC be tenured faculty, each year the chairperson shall determine in advance of election of new members the qualifications (tenured or tenure-track) required to complete the Committee.
- b. Election of representatives to the DFSC shall be completed by secret ballot by May 1 of each academic year.

- c. In any DFSC election in which no person receives a majority of the votes cast for a particular position, there shall be a run-off election of the two highest vote-getters consistent with eligibility requirements. If the run-off does not resolve the issue, it shall be decided by lots, administered by the chairperson.
- d. Per University Policy, V.A.5, all tenured and probationary tenure-track faculty members are eligible to serve on the DFSC, except that one is ineligible to serve a term during the year which one's own tenure or promotion is reviewed.
- e. Elected representatives to the DFSC will serve two-year staggered terms beginning in the Fall semester of the year they are elected. Members may not serve more than two consecutive terms. Representatives on leave for a semester or longer shall relinquish their positions. Vacancies shall be filled by election within one month of their occurrence, utilizing the same election procedures detailed in this section.

C. Responsibilities of the DFSC

1. The DFSC shall ordinarily be responsible for approving recommendations for appointment of new faculty members.
2. The DFSC shall be responsible for conducting pre-tenure reviews for recommendations regarding reappointment and non-reappointment.
3. The DFSC shall be responsible for conducting annual performance evaluations of faculty. However, the DFSC shall not conduct performance evaluations of faculty who are serving in Academic/Professional assignments. Performance evaluations shall be used for determining, as detailed in section VIII, the amount of performance-evaluated salary increments to be awarded for the coming year. Annual performance evaluations shall be provided to all tenured and tenure-track faculty in writing in accordance with University policies. 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.
4. The DFSC shall conduct informal, non-recorded discussions with faculty which may focus on the faculty member's performance (annual, long-term and/or future), and when appropriate, on the faculty member's progress toward promotion and/or tenure. One purpose of these discussions is to provide mentoring for faculty who have not reached the rank of Professor. They provide an opportunity for faculty to ask any questions arising from their annual performance evaluation or any other matter. Informal discussions shall be conducted every other year with faculty who have not been promoted to the rank of Professor. They shall also be conducted every five years for tenured faculty as part of the post-tenure review process (as discussed in section VI). In addition, any faculty member may request an informal discussion with the DFSC at the time annual performance evaluations are conducted and reported (January-February).
5. The DFSC shall be responsible for conducting summative reviews for tenure and promotion.
6. In cases of tenure and promotion, the DFSC shall notify the candidate of its intended recommendation and rationale prior to submitting its recommendation to the CFSC and shall

provide opportunity for the candidate to meet with the DFSC in accordance with University policy.

7. The DFSC shall conduct post-tenure reviews of faculty as specified in section VI.
8. The DFSC shall also be responsible for making recommendations regarding sabbaticals, internal grants, faculty awards, and dismissals.

D. DFSC Reporting Requirements

1. The DFSC shall inform faculty members in writing of its recommendations (and the chairperson's recommendations, if required by University policy) regarding their rank, tenure status, and salary increments according to the University's ASPT Calendar for Reappointment, Promotion and Tenure, Performance-Evaluation, and Post-Tenure Review.
2. The DFSC shall report its recommendations regarding performance evaluations, promotions, and tenure to the CFSC in accordance with University ASPT policies.

II. APPOINTMENT POLICIES

- A. Initial tenure and tenure-track faculty appointments shall ordinarily have the approval of the majority of all DFSC members.
- B. Search Committees shall be formed by the chairperson, in consultation with the DFSC, to aid in the recruitment and selection of prospective tenure-track faculty. The Search Committee shall review the dossiers of the pool of applicants for a faculty vacancy and narrow the pool of candidates to a short list of those who will be invited to campus. Department faculty will have an opportunity to review each candidate's credentials and contribute evaluative comments regarding each. The Search Committee shall consider faculty feedback regarding the finalists and identify and recommend to the faculty a prospective new hire. In cases where faculty consensus is not apparent regarding the candidate to be offered a position, the decision shall be made by the majority of the tenured and tenure-track faculty. The prospective new hire shall then be recommended to the DFSC, who ordinarily approves the appointment of new faculty hires.
- C. The DFSC and the chairperson shall make appointment recommendations to the College Dean in accordance with University ASPT policies.

III. FACULTY ASSIGNMENTS

- A. The chairperson shall communicate to all faculty members in writing and in a timely manner their assignments for the academic year. Such assignments shall be determined in consultation with each faculty member and shall ordinarily include the courses they are expected to teach and any reassigned teaching time for the completion of non-classroom activities. Because spring semester course assignments may not be specifically known at the time annual faculty assignments are prepared, the chairperson may indicate the number of spring courses faculty are scheduled to teach at the time assignments are distributed and provide faculty with specific spring course assignments when they are known.
- B. As part of their annual performance evaluations, faculty shall provide the DFSC with reports

specific to their assignments.

IV. ANNUAL PERFORMANCE EVALUATION POLICIES

A. General

Annual performance evaluations shall be conducted of each tenure-line faculty member by the DFSC. In conducting such evaluations, the DFSC shall take into consideration the assignment provided to each faculty member by the chairperson. The primary principle guiding the DFSC's performance evaluation of faculty shall be the *quality* of work produced. While focusing on the activities of the preceding year, the performance evaluation shall also consider the long-term contributions and accomplishments of the faculty member.

B. Annual Faculty Reports

No later than January 5 of each year, faculty must submit materials to the DFSC for an annual performance evaluation of their activities and accomplishments of the preceding year. Faculty members shall submit a narrative of one to three pages summarizing their accomplishments of the prior year, appropriate evidence of these accomplishments, as well as a completed Faculty Productivity Report provided by the College. Faculty are encouraged to refer to current DFSC Policies and CFSC Standards, as well as the University ASPT Policies, concerning guidance regarding expectations in the areas of teaching, service, and scholarship.

C. Non-Participation of DFSC Members in Their Own Evaluations

Members of the DFSC shall not participate in the Committee's deliberative discussions relating to their own annual performance evaluations. Rather, DFSC members shall recuse themselves from such evaluative discussions by physically absenting themselves from such processes. The remaining members of the DFSC shall render performance evaluations for the absent member.

D. Evaluative Method

The DFSC shall use a *holistic qualitative method* for evaluating faculty members, guided by these departmental policies, the College Standards, and the University's ASPT Policies.

E. Criteria and Standards of Performance

To earn satisfactory performance for a year, a faculty member must earn a satisfactory (or higher) score in at least two of the standard areas of scholarly productivity, teaching and service. Criteria for earning satisfactory rankings in these three areas are detailed below.

1. Evaluation of Scholarly Productivity

The DFSC is responsible for making every possible effort to assess fairly the quality of a publication and the journal in which it is printed, with appropriate consideration for the quality of journals in the various areas of specialization. Similarly, the DFSC is responsible for considering the size of a grant, the faculty member's contribution to a co-authored publication or project, the level and reputation of the association before which a presentation is made and related considerations. The emphasis must be on the *quality* of the scholarly products. Many forms of scholarship are valued, including those that directly support the University's stated values of equity, diversity, inclusion, access, and safe environment and those that foster and promote civic

engagement.

To receive a satisfactory evaluation in research/creative activity, a faculty member must demonstrate that they have contributed to the advancement of scholarship in a professional venue. Examples of satisfactory scholarly productivity include but are not limited to publication of a peer reviewed article, book chapter, or scholarly book; publication of quality non-peer reviewed scholarship, book reviews, and research notes; publishing an edited journal issue or book; editing a scholarly journal or book series; refereeing journal articles, grant proposals or book manuscripts; written evidence of significant progress in long term scholarly endeavors; application for or receipt of a competitive internal or external grant or fellowship; research-based presentation at an international, national, regional, or local professional meeting.

Products will be considered to have reached fruition in the year in which they are delivered or published on-line or in print/paper format (at the discretion of the faculty member). Manuscripts and work in progress will be given lesser consideration than a fully published work. Consideration will be given to grants submitted with higher consideration for those that have been awarded.

2. Evaluation of Teaching

Adequate evaluation of teaching by the DFSC requires the consideration of a variety of possible factors concerning these activities. The DFSC must use at least two types of factors to evaluate teaching performance.

One method of evaluating teaching performance must include student evaluations which shall be obtained for each class taught by a faculty member. Student anonymity must be maintained. The evaluations should be completed on the approved department form and all evaluations shall include an opportunity for students to make open-ended comments regarding the course and the instructor. The instrument is to be administered during the last three weeks of the course by someone other than the person regularly teaching the course. Students shall be informed that they may report any irregularities in administration or attempts to influence their responses on the form to the department chairperson. Faculty members and the DFSC shall have access to the results only after the final grades have been submitted to the registrar.

Other types of factors which the DFSC may consider in determining teaching performance include such items as syllabi; breadth of teaching ability as illustrated by effective teaching in different classroom settings; evidence of meritorious supervision of students in independent studies and internships; advising and mentoring of students in their preparation of research projects; theses, and dissertations; attracting students to the department; engaging in equity, diversity, inclusion, and safe environment efforts that contribute to a student's skills-training and/or professional development; promotion and fostering of civic engagement activities in the classroom; participation in undergraduate and graduate programs; work done with students outside of the normal classroom setting; significant involvement in sponsoring student organizations and co-curricular activities; development or review of teaching materials; service as a master teacher to others; recognition of meritorious teaching by winning teaching awards; writing successful competitive grant proposals related to teaching; and contributing to teaching of general education or departmental core curricular courses. Additional examples of factors which may be used to identify meritorious teaching are provided in Appendix 2 of the University's ASPT Policies.

To receive a satisfactory evaluation, a faculty member must demonstrate in student evaluations an overall average of 3.0 or better on a 5.0 scale on quantitative parts of such evaluations, and positive assessment on qualitative portions of such evaluations. Additionally, faculty members must meet one of the other requirements detailed in the previous paragraph.

3. Evaluation of Service

Professional service includes service to one's profession, the department, the university or university-related organization or group, and to the community. In rendering its judgment of a faculty member's service, the DFSC should take into account, to the extent possible, the nature of the activity and the amount of time involved beyond the allocation of release time, the level of professional knowledge and skill involved, and the quality, significance and importance of the service in terms of its potential consequences. Where group/committee activity is involved, the DFSC should consider the personal part contributed by the faculty member.

Service to academic and professional organizations may or may not require use of one's specialized disciplinary skills. Community service must be directly and significantly related to the skills and perspectives of the faculty member's career. In order to be considered relevant for ASPT, such service would require substantial use of one's professional knowledge and/or skills, such as analyzing survey data, conducting demonstration programs and workshops, presenting lectures, or carrying out research projects.

Service that directly supports the University's stated values of equity, diversity, and inclusion are to be acknowledged and considered in the assessment of service. This may include activities that affirm and encourage community and a respect for differences and foster an inclusive environment, characterized by cultural understanding and engagement, ethical behavior, and a commitment to social and restorative justice.

Service that supports the University's value of civic engagement, which prepares students to be informed and engaged global citizens and ethical leaders, is to also be given full consideration in the assessment of service.

To receive a satisfactory evaluation in service activity, a faculty member must demonstrate that they have sought and accepted service opportunities and fulfilled the duties of service positions accepted. Service expectations for untenured probationary faculty members is generally less than expectations for tenured faculty, and no service is required in the first year of the probationary period.

4. Definitions

For the purpose of this document, we utilize definitions of equity, diversity, inclusion, and access that have been formulated by the Office of the President's Diversity and Inclusion Advisory Council. <https://illinoisstate.edu/president/diversity-inclusion-advisory-council/definitions/>

V. PROMOTION AND TENURE POLICIES

- A. Untenured faculty and those below the rank of Professor are urged to carefully consult the College Standards and University ASPT Policies to monitor their progress toward tenure and promotion.

- B. The DFSC may initiate a recommendation with respect to promotion in rank. In addition, faculty may request consideration for promotion and provide the documentation supporting the request. In either case, a promotion review shall be conducted by the DFSC culminating in the formulation of a written recommendation. The DFSC shall notify the candidate of its intended recommendation and rationale and shall provide the faculty member an opportunity to meet with the DFSC according to University ASPT Policies. The DFSC shall forward its recommendations to the CFSC according to University ASPT Policies.
- C. Consideration of tenure shall ordinarily occur during a faculty member's sixth year of probationary service. Exceptions may be made for individuals on shorter probationary periods as agreed at the time of employment or in the case of early recommendations for tenure and promotion. Other than in exceptional cases, tenure and promotion to associate professor will be evaluated concurrently. Recommendation for early tenure and/or promotion will be considered only in the case of exceptionally strong performance.
- D. Criteria for Evaluation

Generally, to qualify for promotion or tenure, a faculty member must exhibit sustained and consistently high-quality performance in all roles. (Faculty are advised to consult the illustrative examples of criteria for the evaluation of teaching, scholarship and service provided in Appendix 2 of the University's ASPT Policies.) Receipt of minimal satisfactory rankings in annual evaluations does not guarantee a candidate will meet minimal criteria for promotion or the awarding of tenure.

- 1. Teaching

Faculty must present evidence of high quality achievements in teaching as reflected in student evaluations, peer review by the DFSC, and such other evidence of teaching performance identified in IV.E.2, above. A teaching portfolio that meets College requirements must be submitted to the DFSC for its evaluation.

- 2. Scholarship

Faculty must present a consistent record of high-quality research including publications that are peer-reviewed prior to publication. The emphasis shall be on the quality of the faculty member's scholarship, whether in publications, grants, presentations, or other research and scholarly activities.

- 3. Service

The candidate for tenure or promotion must present evidence of consequential service activities.

- D. External Reviews

External reviews are required for tenure and/or promotion. External reviewers should be recognized scholars in the candidate's field and be able to evaluate the quality of his/her research/ scholarly/ creative activity. External reviewers should be selected to minimize the possibility of conflicts of interest; for example, they should not be selected from among those with whom the candidate has had familial or amorous personal relationships. Letters from faculty, staff and/or administrators, who are current employees of Illinois State University, are not considered to be "external reviewers."

Candidates should recommend three to six reviewers to their department chair. Recommendations should be accompanied by brief statements about each suggested reviewer. If reviewers who have had significant previous contact with the candidate are recommended, reasons for that choice should

be presented in sufficient detail to facilitate a reasonable and fair decision by the chair about the approval of the reviewer. The chair, in consultation with the DFSC, will select a minimum of three (but not exceeding six) individuals from whom reviews will be solicited.

In the event the chair believes additional recommendations are desirable or necessary, then (1) the candidate should be requested to make supplementary recommendations, and (2) the chair may suggest additional reviewers to the candidate. Ordinarily this process should result in a list of reviewers acceptable to the candidate and to the chair. Contact with reviewers should be by the chair only.

The candidate will provide copies of a current *vita*, publications, and other materials he/she chooses as appropriate for an external review of research/scholarly/creative activity. The chair will forward these materials along with a written summary description of the candidate's assignment letters for the period being evaluated, with an invitation to the reviewers. The process should be scheduled to ensure adequate time for the reviews to be returned and be considered by the departmental and college committee.

The chair shall ask external reviewers to sign a waiver of confidentiality. The letters received will be included with the documentation for the tenure case and considered equally, whether they are returned with a completed waiver of confidentiality or not. If external reviewers do not sign such a waiver, their comments will only be used in summative assessment of the quality of the candidate's research. No information will be used that would obviously lead to the evaluator's identity.

E. Pre-Tenure Review

The Department Faculty Status Committee shall conduct a summative three-year pre-tenure review of faculty who are on a normative (6 year) probationary appointment. Faculty members who have been credited with tenure-earning service at the time of their initial appointment will have a summative pre-tenure review at the appropriate mid-point of their probationary period.

Such faculty will submit a narrative summarizing their accomplishments to date in scholarship, teaching, and service (including documentation of same), as well as their expectations for further accomplishments prior to their formal tenure/promotion review. Candidates for pre-tenure review shall also submit a College Tenure/Promotion Application, a *vita*, and evidence of scholarship and teaching. Materials should be submitted to the Department Faculty Status Committee no later than April 1 of the spring semester of the candidate's third year, or the mid-point of their probationary period.

The DFSC's reviews will provide a written evaluation of the pre-tenure faculty member's overall progress toward tenure and promotion. Ordinarily, such reviews should be completed by June 1 of the year in which they take place.

VI. POST TENURE REVIEWS

- A. Per University Policy, X., if a faculty member receives an overall unsatisfactory two of three years, he/she must undergo a post-tenure review.
- B. The DFSC will conduct five-year reviews of all tenured Associate faculty members until they reach promotion to Full Professor. These reviews provide an opportunity for better planning and coordination of responsibilities between the department and individual faculty, as well as an opportunity for faculty members to view their work in a multi-year context. Upon promotion to

Full Professor, one five-year review will be conducted following promotion. All remaining five-year reviews will be at the request of either the faculty member and/or the DFSC.

- C. In the year of their five-year post-tenure review, faculty must submit, along with their yearly performance evaluation materials, a narrative that briefly summarizes their accomplishments over the preceding five years, goals and directions contemplated for the next five years, as well as any special needs or requests relating to the performance of their roles. The narrative provides an opportunity for qualitative self-assessment by the faculty member.
- D. The DFSC shall both respond in writing to the narrative assessment and schedule a formative discussion with the faculty member. In addition to providing an opportunity to holistically evaluate the past five years of the faculty member's career, the letter and discussion provide an opportunity to contemplate the next few years of that career.

VII. TERMINATION AND DISCIPLINARY ACTIONS

A. Probationary Faculty

The department will follow the policies as specified in the University ASPT policies, Articles XII, XIII, XIV, and XV.

B. Tenured Faculty

The department will follow the policies as specified in the University ASPT policies, Articles XII, XIII, XIV, and XV.

VIII. SALARY COMPENSATION REVIEW POLICIES

Under the new ISU ASPT Policies, the University reserves some of the raise pool (no more than 10%) for administrative adjustments, including promotions. Of the raise pool returned to the Department, 20% shall be reserved for a standard increment and approximately 80% for merit/performance points. The College guidelines require that “the chair shall be responsible for presenting to the DFSC a set of recommendations regarding the distribution of increment funds. The DFS is responsible for input and final approval of salary recommendations.”

- A. The annual salary review shall be directed toward ensuring that faculty salaries are consistent with performance and contributions to the department in both the short and long term and take account of equitable issues affecting salaries (including, for example, compression and unrewarded merit). Distribution of raise dollars shall follow the guidelines in Section VII of the University ASPT Policies.
- B. Standard Increment: 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 (ASPT XII 2.b)
- C. Merit Increment:
80% of the funds will be used to reward performance based on an evaluation of each faculty member's overall contributions over the most recent annual review in the areas of scholarship, teaching, and service.

1. Scholarship: Approximately 40% (of the 80%) shall be distributed to faculty members who exceed the standard for a 'satisfactory' rating for active scholarly and creative productivity; exact salary dollars shall be distributed according to individual productivity levels as determined by the DFSC.
2. Teaching: Approximately 40% (of the 80%) shall be distributed to faculty members who exceed the standard for a 'satisfactory' rating for teaching; exact salary dollars shall be distributed according to individual productivity levels as determined by the DFSC.
3. Service: Approximately 20% (of the 80%) shall be distributed to faculty members who exceed the standard for a 'satisfactory' rating for service; exact salary dollars shall be distributed according to individual productivity levels as determined by the DFSC.
4. Determining Merit Point Raises: Each faculty member will be assigned a summative DFSC ranking based on the rankings for scholarship, teaching, and service (as noted above). Each merit point will earn a fixed number of dollars of the raise pool. The dollar amount for each point will be determined by dividing the total dollars for merit points (80% of the raise pool) by the sum of all the merit points for all faculty members. The performance portion of the raise will then be calculated as the number of merit points times the dollar amount for each merit point.
5. Equity Adjustment: Some funds may be reserved for equity adjustments. The Chair, in consultation with the DFSC, will identify cases of unrewarded merit, inequities among faculty salaries, e.g., due to salary compression, and other inequities. Any money that is not needed for equity adjustments will be added to the 80% pot for distribution according to the guidelines laid down under C.i.-iv.
6. The chairperson shall present to the DFSC recommendations for the distribution of salary increases including performance-evaluated salary increments as well as any equity adjustments. The DFSC is responsible for input and final approval of the salary recommendations in consultation with the chairperson.
7. Members of the DFSC shall not participate in the deliberations concerning their own salary increments. Rather, members shall recuse themselves from such discussions by physically absenting the room while the other members of the DFSC deliberate their increments.
8. Recognizing that most, if not all, faculty typically perform in at least a satisfactory manner in any given year and over the course of their careers, ordinarily each faculty member shall receive a performance-evaluated salary increment.
9. Unsatisfactory Performance Those evaluated by the majority of the DFSC as having unsatisfactory performance (a rating of 0) in any two areas of evaluation (i.e., teaching, scholarly and creative productivity, or service) shall be excluded from the raise pool.
10. Multiple Years of Unsatisfactory Ratings As per University Policy X, any faculty member who receives an overall unsatisfactory performance rating, as defined by ASPT guidelines, during the annual review process for any two years of a three-year period is required to undergo a cumulative review that requires the submission of additional paperwork to the DFSC, as well as a letter-of-response from the DFSC (University Policy X.B, X.C, X.D., and X.E.).

IX. APPEALS

Appeal procedures shall follow the guidelines outlined in the University ASPT Policy, Section XIII.

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