

DEPARTMENT OF PSYCHOLOGY
APPOINTMENT, PERFORMANCE EVALUATION, PROMOTION, TENURE, SALARY
POLICIES AND PROCEDURES FOR 2018 and 2019
(Approved by the Psychology Faculty, 12/19/18)

These departmental policies and procedures elaborate and complement the Faculty ASPT Policies approved by the ISU Academic Senate (May 2016) and the ASPT Standards of CAS (2014). All three documents must be consulted for complete coverage.

I. Department Goals

- A. Provide excellent undergraduate education in the department major and minor, General Education, Honors, and in support of other undergraduate programs
- B. Provide excellent graduate programs in selected areas that serve the needs of the region, build on strengths of the department, and complement other graduate programs in the state university system, and meet relevant licensure or accreditation standards
- C. Contribute to the generation, dissemination, and application of new knowledge
- D. Provide professional services through the department's clinic that train our students for practice, enable applied research by faculty and students, and meet needs of the community
- E. Provide professional service to the institution, to the larger community, and to the discipline
- F. Innovate educational programs and methods to give students access to emerging areas of knowledge and practice and to increase student involvement in learning
- G. Advance students' learning and development by including them when possible in research and service activities
- H. Maintain a social environment that is respectful, supportive, and accountable
- I. Value and seek to increase diversity in all activities

II. Department Faculty Status Committee

- A. Responsibilities
The DFSC shall be responsible for making recommendations regarding faculty contracts and appointments, reappointment and non-reappointment, annual performance evaluation, salary adjustments, promotion, tenure, post-tenure review, and dismissal.
- B. Annually by March 31, the DFSC must review Department ASPT 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 five-year review.
- C. At least every five years, the DFSC shall formally invite input from Department faculty regarding potential changes to the ASPT document. Specifically, in February or March of the fifth year, the chair will send out a call for suggestions to faculty. Faculty members who have concerns regarding an item of the ASPT document will e-mail their concerns to the chair, and will also be required to suggest a possible change to the

policy. Potential issues to be addressed include recommended updates to areas of policy that should 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 any and all revisions that it endorses. Following discussion and possible amendments, the Department faculty will vote upon any and all proposed revisions.

D. These policies and procedures shall be submitted to the appropriate CFSC, which will approve them for their conformity to College standards and University policies and procedures.

E. Membership

The DFSC for the department will consist of four elected members whose locus of tenure is within that Department, and the department chair (*ex officio*), who sits as Chair of the DFSC. Each member has an equal vote. Two members will be elected each year and begin their terms on July 1. Terms will be staggered and last for two years. A given person can serve for two consecutive terms. After that, one year must elapse before he/she can be elected again. Faculty members on a greater than 50% administrative appointment may not be elected to serve on the DFSC. All other 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 tenure is reviewed or during the year which one's promotion is reviewed. A majority of elected members of the DFSC must be tenured.

F. Election Procedures

1. All tenured and probationary tenure-track faculty members are eligible to vote for and serve on DFSC matters unless otherwise restricted by university policy. Those on sabbatical, leave, or excused absence from campus are eligible to vote, but the burden is on them to receive ballots and submit theirs to the department secretary by phone, e-mail, or fax. Those on sabbatical or leave during the duration of the service term are ineligible to serve for that term.
2. Election of DFSC members will be by secret ballot. Elections will occur at least two weeks prior to the close of the preceding spring semester of the academic year. If a person does not wish to be a nominee, he/she should indicate his/her desire in writing to the department chairperson at least two weeks prior to the election. An individual on leave during elections will be removed from the ballot unless she/he indicates in writing her/his desire to serve.
3. A list of nominees shall be sent to the eligible voters a week prior to the election. In order for the election to be official, 75% (excluding those on leave) of the eligible faculty must cast ballots. The election shall go to the top vote-getters, as long as they obtain 25% of the votes cast. If there is a tie or a seat remains unfilled, a run-off election shall be held between the fewest number of top vote-getters required. All election results shall be disseminated to the department faculty.
4. If a member is unable to complete a two-year term, a special election following the above procedure will be held to fill that position.

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

Members of the DFSC shall not participate in any of the Committee's deliberative discussions related to their own performance evaluations nor in any decisions made about themselves. They must recuse themselves from such discussions and decision-making by physically absenting themselves from the room. The remaining members shall make performance evaluations for and decisions concerning the absent member. DFSC members shall be sensitive to APA Ethical Principles on dual relationships. For example, they shall recuse themselves from deliberations concerning their current or past partners.

III. Appointment Policies

- A. In consultation with the Department Council, the DFSC will decide the area of appointment and write the position description.
- B. The DFSC will appoint a search committee, to include area faculty members. The search committee will have the responsibility of recruiting and screening applicants and later checking references of candidates invited to interview. The top candidates agreed upon by the DFSC and search committee will be announced to the tenured and tenure-track faculty, who shall have the opportunity to review their credentials. The Chair, or his/her designated representative from the DFSC, and the search committee shall conduct phone (i.e., audio and/or visual) interviews. The DFSC and the search committee will then decide on the candidates to interview on campus.
- C. All psychology faculty members will be given the opportunity to participate in on-campus interviews of applicants and to submit their evaluations. Final selection for appointment rests with the DFSC, drawing on input from the faculty.
- D. The Chair, in consultation with the Dean and Provost, has final responsibility for negotiating a contract with a selected candidate.

IV. Faculty Assignments

The Chairperson shall communicate to all faculty members in writing and in a timely manner their assignments for the academic year in the areas of teaching, research, and service (including administration and clinical activities). Assignments shall change in consultation with the faculty member involved and the DFSC and with the approval of the Chair. These assignments shall include a weighting of the three areas of activity for evaluation. The standard formula for calculation of merit shall be 2T (teaching) + 2R (research) + S (service). However, alternate distribution of the five weighting units based on assignment letters may be approved by the chair for those with significantly different area assignments (e.g., 2T + R + 2S). Because all areas are required of ISU faculty, no area may be weighted less than 20%.

V. Criteria for Evaluation

The activities listed are illustrative; those related to one's assignment and career goals and plans will be the focus of evaluation. Methods for evaluating the various activities are noted; the default method is judgment by the DFSC peers of the quality of the activity and its value in contributing to the department's mission.

A. Teaching

1. Group Instruction

- a. Teaching effectiveness as evaluated by students at different levels on departmental evaluation instruments (mandated by the university)

- b. Breadth of teaching ability as 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
 - c. Enrollments appropriate for courses taught
 - d. Organization of courses, currency and intellectual quality of content, and appropriateness of academic standards as judged by DFSC peers from course webpages, syllabi, and other instructional materials
 - e. Student learning as demonstrated by cognitive and attitudinal gains
2. Supervising, Mentoring, and Advising
- a. Quality and number of, and contributions to, independent projects, research apprenticeships, theses, and dissertations supervised
 - b. Contribution to and number of thesis and dissertation committees served on as member (including reader)
 - c. Quality and number of professional practice placements, including practicums and internships, supervised
 - d. Advancing students' professional development, such as by mentoring their preparation of papers, providing them with co-authorship opportunities, and writing letters of recommendation
 - e. Club sponsorship and other out-of-class activities (e.g., GRE preparation classes)
 - f. Demonstrated interest in and availability to students, such as maintaining office hours
3. Developing learning activities and as a teacher
- a. Curriculum development: new programs and new courses approved by appropriate curriculum committees
 - b. Development of new teaching materials, techniques, and technologies, and their adoption by others
 - c. Development of new professional practice opportunities within our clinic or at external sites
 - d. Instructional and classroom research
 - e. Peer-reviewed grants, professional publications, and presentations of teaching materials or research
 - f. Selection as a master teacher, as in conducting teaching workshops and course mentoring for other faculty members and graduate students
 - g. Teaching awards
 - h. Securing licensure or other credentials that enhance the credibility of educational endeavors
- B. Scholarly and Creative Productivity
- Consistent with the university's definition, the department recognizes the scholarship of both discovery and integration, and research that is both basic and applied. Primary emphasis will be given to quality and quantity of peer-reviewed work reaching fruition. Quality will be judged by factors such as the prestige of the publication outlet, size of the grant, and the ongoing impact of the work. Judgments of quality will be partially based on external criteria, such as the Journal Citation Report, published reviews, and the Social Sciences Citation Index. Quantity will be judged in part by the amount of contribution to the product. Manuscripts and work in progress will be given lesser consideration. Consideration will be given to grants submitted or awarded. Products will be considered to have reached fruition in the year in which they are delivered or published. However, for annual merit evaluations and tenure decisions, a journal

article is considered to reach fruition in the year in which a letter is received from the journal editor indicating final acceptance of the article for publication. In the event an accepted article is not ultimately published, the individual is required to notify the DFSC in writing.

1. Peer-reviewed journal articles
2. Editorially reviewed books or book chapters
3. Competitive external or internal research grants
4. Presentations (invited addresses, papers, posters, symposium member) at national/international or regional/local professional meetings
5. Refereeing journal articles, external grant proposals, and book manuscripts
6. Works submitted or in progress documented with a draft of a manuscript
7. Research-related honors and awards, including election as Fellow of professional society

C. Service

Service is engaging in those activities that draw on the professional competence of the faculty member to benefit the profession, community at large, and the university.

1. Quality and quantity of service to professional organizations (e.g., officer, committee member, program chairperson, symposium organizer, continuing education workshop teacher, site visitor)
2. Editorial position with a journal or scholarly book series
3. Addresses and participation of a professional nature in groups other than scholarly societies
4. Quality and quantity of professional consulting or service to civic organizations, social agencies, government, business, or industry that is related to the faculty member's teaching, research, or administrative work at ISU
5. Committee work and other service activities within the department (including the clinic), college, and university, particularly those involving leadership or primary responsibility
6. Treating colleagues and students in a respectful manner and cooperating with them
7. Service contracts

D. Unsatisfactory Performance

Judgments of unsatisfactory performance will occur when there is failure to complete assigned duties in teaching, research, or service at the minimal performance standards established by the department. The following is an illustrative list of such standards.

1. Posting and maintaining office hours

2. Meeting classes as scheduled unless previously arranged with the department chairperson
3. Showing year-to-year improvement based on past criticisms
4. Encouraging students to seek needed help
5. Respecting the rights of others, which would be contraindicated by a serious charge upheld by the Community Rights & Responsibilities committee, or the Academic Freedom, Ethics, and Grievance Committee
6. Providing students with syllabi that indicate topics, assignments, objectives, and evaluation standards
7. Preventing conflicts with other faculty members from interfering in a significant way with departmental work, especially when students' learning and development are harmed
8. Nondiscrimination against others on the basis of personal or group characteristics (This does not intend to interfere with making appropriate judgments about problematic behavior.)
9. Adhering to ethical standards of behavior as defined by the Ethical Principles of Psychologists and Code of Conduct published by the American Psychological Association
10. Attending regularly scheduled department, program, and sequence meetings
11. Participating in program/sequence hiring activities such as meeting with candidates
12. Participating in program/sequence graduate admissions activities such as evaluating applicants and meeting with them during Applicant Day
13. Annually submitting a Productivity Report that is completed according to ASPT guidelines
14. The department will abide by University ASPT Policies XII, XIII, XIV, and XV in matters regarding faculty disciplinary action.

VI. Annual Performance Evaluation

A. Evaluation Policy

DFSC shall evaluate tenured and tenure-track faculty members annually for the quality of their performance. The basis of the evaluation will be annual reports from faculty members and evaluations of teaching and other responsibilities submitted by those with department administrative responsibilities. Anonymous communications (other than officially collected student reactions to teaching performance) shall not be considered in any evaluation activities. Faculty members have access to all written materials in their departmental review files and the right to add a response to them. Evaluation will focus on duties as assigned by the Chair. The holistic evaluation will take into consideration job performance and accomplishments not only of the previous year but also over the long-term.

B. Annual Faculty Reports

No later than January 5 of each year, each faculty member must submit materials to the DFSC for an annual performance evaluation. The following should be included.

1. A narrative statement of one to three pages, which summarizes the faculty member's job performance and accomplishments during the previous year in the context of his or her assignment and career goals and plan
2. An updated *curriculum vitae*, submitted electronically and in print
3. A completed Faculty Productivity Report on a form provided by the Department of Psychology DFSC.

4. Documentation of significant accomplishments (More may be requested at DFSC's discretion.)

C. Evaluation reports submitted to the faculty member and CFSC

Performance evaluations shall be in writing, and shall comment on strengths and weaknesses and, when applicable, progress toward achievement of promotion or remediation of deficiencies noted in previous reviews. The annual performance evaluation shall also include (1) an annual assessment of a faculty members' performance in teaching, scholarly and creative productivity, and service; (2) a separate interim appraisal of the faculty member's progress toward tenure and/or promotion, if applicable; and (3) an overall evaluation of the faculty member's performance in the evaluation period as either "satisfactory" or "unsatisfactory." Comment will be made on effort and activity in the three areas of teaching, scholarly and creative productivity, and service. Persons evaluated as having "unsatisfactory performance" shall be informed in writing of the reasons for this decision.

D. Aggregate data of DFSC ratings will be sent to the faculty.

VII. Reappointment Policies

A. Probationary faculty members also undergo annual evaluation for reappointment.

B. Recommendations for non-reappointment prior to a tenure decision are made by the DFSC in consultation with the Dean and Provost. The Chairperson of the DFSC shall communicate the recommendation of non-reappointment in writing to the faculty member, the Dean, and the Provost.

VIII. Mid-Probationary Tenure Review

This is an internal departmental review intended to provide cumulative feedback about progress toward tenure. It occurs during a probationary faculty member's third year unless the DFSC is petitioned for a one-year delay. A probationary faculty member with prior years of service is subject to this policy if not going up for promotion or tenure by the candidate's third year.

A. The faculty member shall submit to the DFSC an updated CV, previous annual review letters, and a narrative of up to three pages summarizing progress toward tenure and plans for upcoming years. This submission (or request for an extension, if eligible) is due on March 1.

B. DFSC shall provide an initial evaluative report and the chair shall meet with faculty member to discuss it. If the faculty member would like to provide additional information, is dissatisfied with the report, or would like to discuss it further, he or she can submit a written response and shall meet with the DFSC. The DFSC shall provide a final evaluative report. It and the faculty member's submission(s) will become part of the faculty member's personnel file for future reference.

IX. Promotion and Tenure Policies

The Department of Psychology accepts the standards and policies in the College of Arts and Sciences Promotion Standards and in Section VIII and IX of the Appointment, Salary, Promotion and Tenure Policies of Illinois State University.

- A. Assistant Professors are eligible for promotion to Associate Professor in the fourth year of service (at least two at ISU). Associate Professors are eligible for promotion to Professor in the tenth year of service (at least four at ISU). However, promotion depends on achieving the appropriate level of accomplishments.
- B. An individual who cannot qualify for promotion to Associate Professor at the time of tenure shall ordinarily not be considered for tenure.
- C. A faculty member may request consideration by the DFSC for promotion in any year of eligibility. Alternatively, the DFSC may initiate a recommendation for application for promotion. In either case, the documentation for summative review must be submitted by November 1 for consideration for promotion for the next year.
- D. To be considered for tenure, a faculty member must request consideration and submit documentation for summative review to DFSC by November 1 prior to their designated tenure year (see ISU ASPT Policies).
- E. To qualify for promotion or tenure, a faculty member must exhibit sustained and consistent high quality performance in all faculty roles. Written department assignments for faculty may emphasize one of the faculty roles over others for purposes of evaluation. However, all candidates for promotion or tenure must have a record that includes peer-reviewed publications and strong teaching. The DFSC conducts a summative review for promotion or tenure.
- F. Individuals seeking promotion or tenure are required to submit a portfolio of their teaching activities. At a minimum, this portfolio should include a summary of student teaching evaluation results placed in the context of departmental norms, a summary of research and professional practice supervision, a statement of teaching philosophy, course syllabi, student handouts, and copies of exams or other methods of evaluating student work.
- G. Individuals seeking promotion or tenure are required to submit evidence of the quality and, in the case of promotion to Professor, the impact of their scholarly and creative activities. A candidate for promotion and/or tenure must provide the DFSC with the names of three to six respected, reputable persons who are in the candidate's area and know his or her work. Excluded from being referees are co-authors, former students or advisors, or close friends or relatives. The DFSC can add other names with the candidate's approval. The Chair shall write to referees, provide them with relevant documents, and ask them to comment on the quality and, in the case of promotion to Professor, the impact of the candidate's work. The Chair will also provide potential referees a Waiver of Confidentiality form and advise the referee of their right to confidentiality. While letters received with a signed Waiver of Confidentiality will be made available to the candidate, those received without such waivers will be withheld from the candidate. All letters received will become part of the candidate's file.
- H. Individuals seeking promotion or tenure are required to submit evidence of activities in-progress and describe goals for extending teaching, scholarly and creative productivity, and service initiatives over the coming five years.
- I. The DFSC shall notify the candidate for promotion or tenure 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 and supplement his or her materials before final recommendation by the DFSC. (See ASPT Policies, V.C.4, pp. 14-15.) The DFSC shall report its recommendations to the CFSC and candidate; a record of the numeric vote shall be included. If the Chair dissents from the majority report, he or she must also submit a report. Any other DFSC member may also submit a minority report.

X. Post-tenure Review

The post-tenure review process mandated per University Policy V.C.2c will be satisfied with annual review letters. No additional materials need be submitted, and no additional reports need be written.

XI. Salary Policies and Procedures

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 60% for merit points and 20% for equity increments. The College Guidelines require that "the chair shall be responsible with presenting to the DFSC a set of recommendations regarding the distribution of increment funds. The DFSC is responsible for input and final approval of salary recommendations."

1. Ratings by DFSC

Each DFSC member will provide a rating in each of the three evaluation areas (teaching, scholarly and creative productivity, and service) of 0 to 10 points. A rating of 5 shall represent adequate performance given the faculty member's career level and goals and departmental goals. The following descriptors will be used for the upper half of the scale: 6, good; 7, very good; 8, excellent, 9, outstanding, and 10, superlative. A rating from 4 to 1 shall represent less than adequate performance in need of remediation prior to the following annual evaluation. A rating of 0 is unsatisfactory performance. Divergent ratings will be discussed in the context of ongoing contributions prior to arriving at a final rating

2. Unsatisfactory Performance

Those evaluated by the majority of the DFSC as having unsatisfactory performance (a rating of 0) in any one area of evaluation (i.e., teaching, scholarly and creative productivity, or service) shall be excluded from the raise pool.

3. 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 post-tenure 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.).

4. Combining Ratings into a Merit Score

Following the completion of the rating process, ratings in each area shall be averaged across all DFSC members (excluding self-ratings) for all faculty members with minimally satisfactory performance. The Chair shall combine ratings of the

three areas for each faculty member according to the weightings in his or her assignment letter. This will yield a merit score for each faculty member on a scale of 0 to 50, with 25 being adequate performance.

5. Determining Merit Point Raises

Each merit point above 25 will earn a fixed number of dollars. The dollar amount for each point will be determined by dividing the total dollars for merit points (60% of the raise pool) by the sum of all the merit points (above 25) 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. Determining Equity Increases

Within each faculty rank (i.e., Assistant, Associate, and Full), performance ratings and current salaries shall be converted to percentiles. Each faculty member's current salary shall be compared to an estimated salary based on their *performance* percentile within their rank. A salary discrepancy shall be calculated. The chair shall propose equity raises based upon dividing up the total number of dollars available for equity increments (approximately 20% of the overall raise pool) to reduce salary discrepancies proportionately. The DFSC will review this policy every five years.

6. Chair's Report to DFSC for Approval

The Chair shall report to the DFSC the merit percentiles, normative percentiles, and percent merit and equity raises of all faculty members. The final distribution of funds shall be approved by the majority of the DFSC.