

DEPARTMENT OF ACCOUNTING
Illinois State University
DFSC Policies, Procedures, and Evaluative Criteria
To be used for the period January 1, 2018 - December 31, 2018

Department of Accounting Mission Statement

The Department of Accounting's mission is to provide undergraduate students from the State of Illinois with high-quality, student-centered educational programs leading to a Bachelor of Science degree in accounting or business information systems, a Master of Science in Accounting, or an integrated Bachelor of Science/Masters of Professional Accountancy. We accomplish this by individualized, face-to-face instruction and interactions both in and outside the classroom. We support research and other scholarly activities and perform service activities for the department, the College of Business, the University, and other organizations consistent with these programs. Our mission also includes establishing and maintaining relationships with outside organizations and alumni that support our programs, students, and faculty.

To achieve our mission, we:

- Provide high quality pedagogy and educational experiences by tenured and tenure-track faculty to maximize student potential.
- Perform applied, discipline-based, and pedagogical research that complements our educational programs.
- Engage in internal and external service activities that complement our educational programs and research activities and build partnerships with key stakeholders.
- Assist students in maintaining high pass rates on the CPA Exam.

II. INTRODUCTION

A. The primary objective of the Department of Accounting Department Faculty Status Committee (DFSC) process is to provide a mechanism for a fair evaluation system. The Department recognizes each faculty member is different and has the potential of making continual and substantive contributions to the improvement of the Department. The reward system should be based and tied directly to achieving the strategic plans of the Department, the College of Business and the University. Prior to the beginning of each year the faculty should re-examine the department goals, both long and short term. This should be done in congruence with the mission of the Department of Accounting and the strategic plans of the College of Business and the University. Similarly, faculty members should plan the coming year by directing their activities toward the attainment of the strategic plans of the Department. The evaluation and reward process should be consistent with the congruence of faculty contributions and the

strategic plans of the department. The theme of this document is to provide a framework for a positive, motivational evaluation/reward system.

- B. The Department of Accounting DFSC will conform to the *Illinois State University Faculty Appointment, Salary, Promotion, and Tenure Policies (ASPT)*, as adopted by the Academic Senate. Where any DFSC policies and procedures regarding appointments, dismissals, contracts, merit ratings, salaries, promotions and tenure are not specifically set forth in this document, the DFSC shall adopt University and College of Business (COB) guidelines.

III. APPOINTMENT POLICIES

- A. A department search committee separate and apart from the DFSC is responsible for the recruitment of potential faculty members. Recommendations for appointment of new faculty members originate within the search committee.
- B. The Department Chairperson shall be the chairperson and a voting member of the search committee. The chairperson shall select tenured and tenure-track faculty to serve on the search committee. Academic discipline (accounting/BIS), teaching experience, research knowledge, rank, and tenure are some of the characteristics that shall be considered by the chairperson when selecting faculty members to serve on the search committee. The search committee shall be formed such that it is representative of the faculty members of the department.
- Ordinarily, the search committee will consist of the chairperson and five tenured or tenure-track faculty members.
- C. The Department Chairperson or the Office of Human Resources shall conduct training regarding all search activities including impermissible search activities and questions.
- D. The search committee shall take precautions to observe the confidentiality and the security of materials throughout the search process. Various elements of recruiting materials may contain sensitive information or information that could be used for identity theft. As such, those elements should be secured and held confidential to as few people as possible.
- E. In the "Application" stage, and until approval is granted and invitations for on-campus interviews are issued and accepted, the names of applicants are confidential and shall only be available to the search committee members, including the Department Chairperson. Once finalists accept invitations for on-campus interviews, their curriculum vitae and other application materials will be available to all tenured and tenure-track faculty members in the department.
- F. The term "application materials" as used in this section includes any correspondence indicating interest in the position, nomination materials forwarded by any person, the curriculum vita of the

individual, unsolicited recommendation letters, and samples of work supplied by the individual. Under Illinois law, recommendation letters solicited by the search committee may not be shared.

- G. All parties who review credentials at a given stage should review all of the credentials of all individuals being considered at that stage to assure fairness.
- H. All applicants selected for further interviews, including telephone or campus interviews, should be treated alike as far as reasonably possible in terms of schedules, persons met, and information provided.
- I. The search committee is responsible for checking relevant references prior to making a recommendation. The Provost must approve appointments, salary, and rank for all faculty members.
- J. A Candidate Evaluation form shall be distributed to all faculty members for input regarding their evaluation of each candidate.
- K. The search committee shall call a faculty meeting upon completion of on-campus interviews for all faculty candidates for each tenure-track position. Discussions in the faculty meeting concerning the assessment of candidates shall be confidential and advisory to the search committee.
- L. All tenured faculty members shall be given an opportunity to respond to the proposed appointment on the Recommendation for Academic Appointment form. Initial appointments of probationary or tenured faculty members shall ordinarily have the approval of the majority of all DFSC members and the majority of the tenured faculty members in the department. Ordinarily, faculty are appointed on a probationary basis but on occasion can be appointed with tenure.
- M. The Department Chairperson shall forward to the College Dean recommendations for appointment on the Personnel Action Form provided for that purpose. The appointment form shall designate whether the appointment is probationary or non-tenure-track, specify the rank, salary, and, for a probationary appointment, the probationary period after which the person who is being appointed must be considered for tenure.
- N. The Dean shall review the Recommendation for Academic Appointment form and request additional signatures if the Dean considers them necessary. The Dean may, with the approval of the Provost, reduce the number of signature requirements as necessary to expedite specific decisions. Such action shall be reported to the DFSC.
- O. The Dean shall have the responsibility of recommendations to the Provost for appointments of personnel within the College

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

IV. DFSC MEMBERSHIP AND RESPONSIBILITIES

A. Membership

1. The DFSC shall consist of four elected faculty members and the chairperson of the department who will be a voting member and chairperson of the committee. The tenured and probationary faculty will elect DFSC members annually, by secret ballot by May 1. The length of service for DFSC members shall be for staggered terms of 2 years. The majority of the DFSC membership shall be tenured faculty. No faculty member shall serve for more than two consecutive years, except as noted in IV. A. 3. below.
2. An untenured faculty member shall not be elected to a term that coincides with the year in which the DFSC is considering the individual for tenure.
3. The Department will elect a new DFSC member as soon as is reasonably possible after a vacancy is created. A member elected to complete an unexpired term may be eligible for re-election to the next term, assuming the unexpired term does not exceed one evaluation period.

B. Responsibilities

1. The DFSC shall be responsible for conducting pre-tenure reappointment reviews. A pre-tenure reappointment review is an evaluation of a probationary faculty member's professional activities and performance that culminates in a recommendation with regard to whether or not the probationary faculty member shall be reappointed for the coming year. Pre-tenure reappointment reviews shall be conducted annually until such time as the faculty member has been recommended for tenure in the University or has been given a notice of non-reappointment.
2. The DFSC shall be responsible for conducting summative reviews of evaluations of a faculty member's professional activities and performance for purposes of determining performance-evaluated salary increments, formulating recommendations for promotion and tenure, for completion of post-tenure review and for dismissal.
 - a) A performance evaluation review shall be conducted every year to determine the size of performance-evaluated salary increment to be awarded for the coming year (see V.)

- b) A promotion or tenure review shall be conducted as a necessary step in the formulation of a written recommendation concerning promotion and tenure. This review shall support a departmental recommendation concerning promotion or tenure and be completed, with the approval of the DFSC; only at the time an individual is considered for promotion or tenure. The department may initiate recommendations with respect to promotion in rank. After serving the minimum period of time at a particular rank, a faculty member may also request consideration for promotion and provide the documentation supporting the request (see VI.) A faculty member's academic department initiates review for tenure (see VII.) The department will not recommend early tenure except under unusual circumstances.
 - c) In compliance with Board of Trustees Policies, a post-tenure review shall be conducted for each tenured faculty member. Post-tenure review policies, procedures, and criteria are provided in Part VII of this document.
 - d) In support of any of these evaluative activities, the DFSC shall collect information from each faculty member that includes, but shall not be limited to, systematically gathered student reactions to teaching performance. The anonymity of students shall be preserved as far as possible.
3. The DFSC shall be responsible for making recommendations regarding faculty contracts and appointments, for reappointment and non-reappointment, for performance evaluation, for salary adjustments and for promotion, tenure, and dismissal.
 4. In cases of tenure and promotion, the DFSC shall notify the candidate of its intended recommendation and rationale before submitting its recommendation to the CFSC and shall provide opportunity for the candidate to meet with the DFSC to discuss the intended tenure and promotion recommendation. The candidate who believes that relevant factors or materials have been ignored or misinterpreted shall be entitled to present arguments and additional materials in subsequent meetings. This activity must be accomplished within the time period provided for DFSC review (see Appendix 1.B of the ASPT document). The candidate's evidence of accomplishment together with the DFSC recommendation and rationale, the Chairperson's report, if required (see IV.C.2,) and all minority reports shall be forwarded in writing to the candidate, the CFSC, and the Provost. Any member of the DFSC may submit a minority report (see IV.C.2.) If additional materials are used by the DFSC to reach a recommendation the DFSC must inform the candidate in writing about their use and the materials must be made available to the candidate.

C. Reporting Requirements:

1. The DFSC shall inform departmental faculty members in writing of the DFSC recommendations and the Chairperson's recommendations (if required in IV.C.2) pertaining to their rank, tenure status, and salary increments according to the annual faculty status calendar given in this document (see Appendix 1 of the ASPT document). The DFSC shall also report its recommendations regarding performance evaluations, promotions, and tenure to the CFSC. Any DFSC member may submit a minority report (see IV.C.2.) In reporting DFSC actions and recommendations to the CFSC, a record of the numeric vote shall be included.

2. In cases of tenure and promotion, the DFSC shall forward to the CFSC the candidate's evidence of accomplishment, together with its recommendation and rationale, all minority reports, and the chairperson's recommendation and rationale (if required). Chairpersons are required to write a separate report when the chairperson's recommendation differs from the DFSC recommendation. (A "minority report" is defined as a voluntary written statement submitted by a committee member(s) other than the Department Chairperson indicating reasons for dissenting from an action or recommendation taken by the majority of the committee.)

V. PERFORMANCE EVALUATION

A. Performance Evaluation Procedures - Introduction

1. It is recognized by the DFSC that the faculty evaluation is a subjective task and by its very nature difficult to carry out objectively. A systematic procedure will be used, however, to collect information from tenured and probationary tenure faculty members concerning their past performance.
2. All dimensions of faculty performance (instruction [teaching], intellectual contributions, and professional and scholarly service) must be included as mandatory parts of the review of each tenure-track and tenured faculty member.
3. In the fall semester of each year, the faculty shall discuss and update the strategic plans of the Department. This update should extend the strategic plan to include the subsequent five-year period. The update should also identify goals and objectives of the next evaluation year.
4. In the fall semester of each year (generally in November and after the completion of the strategic plan update) the Department Chair will meet with each faculty member to discuss potential ways the faculty member might contribute to successfully fulfilling the departmental goals and objectives. Subsequent to this meeting, each faculty member shall submit to the Department Chair in writing his or her proposed teaching, scholarly productivity, and service assignments for the coming year. Faculty assignments are integral to the mission of the Department, College and of the University. Each faculty assignment represents the part that the faculty member will play during the coming academic year in carrying out that mission. Faculty assignments shall embody the principles of consistency, flexibility, and fairness. Because the University expects from all faculty consistent high-quality performance in the mutually supportive areas of teaching, scholarly productivity, and service, faculty assignments shall be designed not to inhibit faculty members from contributing in all three areas over their term of employment. Appropriate effort shall be made to achieve flexibility in faculty assignments so that the changing needs of the University are recognized and so that, by giving faculty members the latitude to explore academic and professional opportunities as they arise, faculty contributions to the University can be maximized. Faculty assignments may differ from person to person in a given year, and an individual faculty member may complete several types of assignments during the course of several years. In any given year, assignments for a faculty member may carry weights outside the expected long-term departmental ranges. However, over the course of several years, the Department expects assignments to reflect average ranges of 40 - 60% for

instruction, 20 - 40% for intellectual contributions and 10 - 30% for scholarly service. Adherence to these ranges over several years will insure that no category receives a greater weight than instruction.

5. The proposed assignments should tie to the strategic plan and the goals/objectives of the Department. Assignments may be changed during the year as the Department needs evolve or as new opportunities for the faculty member emerge. The assignments may include activities that may not reach culmination with the next calendar year. After reviewing each faculty member's proposal, the Chair will meet with the faculty member to negotiate any significant differences in their proposal and the Chair's proposed assignment. The process of working toward a written assignment is one of negotiation between the faculty member and the Chair. At the end of this negotiation process (or where a faculty member does not submit a proposal) the Chair will provide written assignments to each faculty member. The primary objective of the process is to bring together the faculty member's contributions and the mission and the objectives of the Department. The Chair will inform the DFSC of all faculty assignments. These assignments should also be made available to all members of the Department. Should negotiation between the faculty member and the Chair not result in an agreement on the assignment, the Chair will ask the DFSC for input into the assignment with emphasis on fairness of the assignment relative to others in the Department. Should this process continue to result in disagreement between the faculty member and the Chair, faculty members who disagree can indicate their disagreement on the form given to the DFSC.
6. It is understood that the DFSC will evaluate each faculty member on the written faculty assignment discussed above. The quality and quantity of the faculty productivity with respect to carrying out the faculty member's agreed-upon assignment will be the primary focus of the faculty member's evaluation.
7. Notwithstanding any provision to the contrary in this document, it is understood that nothing herein authorizes an administrator to assign a faculty member to perform service activities which (1) the faculty member prefers not to accept and (2) have significant administrative or quasi-administrative components.
8. DFSC members are to be evaluated on their performance by the other members of the DFSC.

B. Criteria for Evaluating Faculty Members

Criteria for the evaluation process are outlined below and are intended to provide direction to the DFSC. This criteria based model is an attempt to move away from a relativistic faculty comparison model. The three performance evaluation categories are instruction (teaching), intellectual contributions, and professional and scholarly service. The following criteria will be considered in the evaluation process for short-term contributions, equity and long-term contributions, post-tenure reviews, reappointment, promotion and tenure.

1. Instruction (Teaching)

- a) The normal teaching load at Illinois State University is 12 hours per academic semester. However, the general rule in the Department of Accounting is that all full-time, tenured or tenure-track faculty members teach nine-hour loads each semester. Teaching load adjustments are associated with research (most common), large sections, departmental

DFSC Policies & Procedures -- Promotion for Assistant to Associate Professor Guidelines V.C.7 & VI.B.8 – December 5, 2006

-- Performance Evaluation addition to IV.C.9 (last two sentences) – December, 2008 effective 2009

-- Addition - Section III Appointment Policies A through P – November 2011 effective 2012

-- Renumbered Sections from III forward November 2011 effective 2012 Document

-- Performance Evaluation Section V. changes new C, changes in Sections D 2,3,6 - E 6 - F 7 Added November 2011 effective 2012

-- Guidelines for Promotion in Rank, Section VI. A. 6. Added-November 2011 effective 2012

-- Guidelines for Review of Tenure Recommendation, Section VII .A.10. Added-November 2011 effective 2012

-- Guidelines for Performance Evaluation Procedures—Salary Increment, Section V.D.9. Added-December 2014 Effective 2015

-- Mission Statement Revised in November of 2015. Effective for January 1, 2016. Revised Again in May 2016

administration, and other assignments. All load recommendations are made by the Department Chairperson and approved by the College Dean. Consistent with the Department of Accounting's mission statement, the Department places major emphasis on the quality of classroom instruction and improvement of the quality of curricula. Classroom instruction (teaching) must receive the heaviest weight in evaluating faculty performance for short-term contributions, equity and long-term contributions, post-tenure reviews, reappointment, promotion, and tenure. Student appraisals of teaching will be a part of the overall instruction (teaching) evaluation plan. Student appraisals will be made using the guidelines approved by the Academic Senate, November 12, 1980. Student evaluations should not count more than 50% of the evaluation of a faculty member's performance in this category. At least 50% weight in the instruction (teaching) category must be attributed to other faculty and student interaction or faculty support activities in which the focus is on student gains in skills, knowledge, understanding, and personal growth.

- b) For example when a faculty member demonstrates willingness individually or with colleagues to participate in trying new pedagogical techniques, curriculum changes, and other student improvement undertakings, the DFSC has the obligation to evaluate faculty member efforts to be innovative by examining the objectives of the new undertakings in light of the resulting student appraisals and other assessments. The DFSC encourages faculty members to include an assessment mechanism for improvement activities where applicable. The DFSC must recognize that success from innovation generally requires ongoing improvements.

Factors Used for Evaluation of Teaching

- c) The following factors will be used for evaluation of teaching. This list is not intended to be all-inclusive. Other factors that promote department and college goals and objectives will also be considered.

Minimum Requirements

- Prepares for class meetings
- Communicates effectively with students
- Uses pedagogical techniques appropriate to the subject matter and students
- Requires students appropriately apply knowledge to realistic problems and situations
- Requires students to demonstrate their understanding of content in written and/or verbal form
- Provides assistance to students in integrating new knowledge with existing knowledge and use
- Uses effective methods of evaluation (not just objective examinations) and provides useful feedback to students
- Fields questions effectively
- Incorporates current knowledge in student experience
- Organizes the course well, including clear instructional objectives understood by both student and faculty
- Covers the course material effectively, as determined by course syllabi
- Returns graded materials in a timely manner
- Facilitates an environment conducive to learning in the classroom

- Uses appropriate materials
- Plans, organizes, and updates courses regularly
- Holds regularly scheduled office hours
- Meets scheduled classes
- Maintains acceptable personal-professional relationships with students
- Achieves a record of favorable student reaction to teaching performance
- Prepares syllabi from various courses that feature clarity of instructional objectives, clear organization of material and equitable and understandable criteria of the evaluation of student work

Above Minimum Requirements (with positive expectations where appropriate)

- Improves the quality of curricula
- Assists students with career planning and development
- Uses innovative instructional techniques that are reasonably expected to enhance the quality of the classroom experience
- Participates in teaching-related faculty development activities and meetings
- Uses voluntary peer evaluations
- Uses voluntary evaluations by the department chairperson
- Provides verifiable information regarding teaching abilities to the DFSC from independent sources, including alumni
- Experiments occasionally to vary the organization of teaching and techniques or presentation
- Engages in formal study to enhance professional growth in the teaching area
- Coordinates multiple sections of classes
- Receives favorable teaching ratings by peers through review of instructional materials
- Receives favorable teaching ratings by peers through classroom observation
- Receives favorable teaching reactions from alumni
- Provides evidence that the faculty member's students experience cognitive or affective gain as a result of their instruction
- Shows breadth of teaching ability, for example, by effective teaching in different classroom settings, effective teaching of different types of students, preparation of new courses, or significant modification of established courses
- Provides evidence of meritorious supervision of students in independent studies, internships, clinical experience, laboratories and fieldwork
- Advises and mentors students creditably in their preparation of research projects, theses, and dissertations
- Shows significant involvement in sponsoring student organizations and co-curricular activities
- Develops reviews of teaching materials (textbooks, workbooks, reading packets, computer programs, curriculum guides, etc.)
- Develops new teaching techniques (videotapes, independent study modules, computer activities, instructional technologies, etc.)

- Serves as a master teacher to others (conducting teaching workshops, supervising beginning teachers, coaching performances, etc.)
- Receives recognition of meritorious teaching by winning teaching awards
- Writes successful competitive grant proposals related to teaching
- Other Considerations (with positive expectations where appropriate)
 - Size of classes
 - Level of class and time at which it is taught
 - Whether the class requires substantial preparation
 - Whether the class requires new preparation
 - Whether the course is new, or an old course undergoing revision
 - Nature of and variability among students taking the course
 - Types of courses taught
 - Number and variety of preparations

2. Scholarly and Creative Productivity

- a) The term "scholarly and creative productivity" comprises a variety of activities, including those typically defined as research¹. It encompasses all forms of discovery and integration of knowledge, critical analysis, and products and performances.
- b) Intellectual contributions in the fields of accounting and business information systems are secondary, but fundamental, to the mission of the Department. Generally, tenured or tenure-track faculty members have a three-hour assignment for scholarly productivity.
- c) While, consistent with its mission of providing high-quality, student-centered programs for students preparing for professional accounting or information systems careers, the Department's first priority for scholarly productivity is applied research. In addition, we recognize there is significant value in, and a need for, both basic and instructional-development-type research. We define applied research as that supported by nonacademic societies; basic research as that supported by academic societies; and instructional-development-type research as authoring textbooks, study guides, instructional cases, and so on. Journal articles are valued more highly in the evaluation model than other forms of scholarly output. The following activities will be used for evaluation of scholarly productivity. This list is not intended to be all-inclusive. Other scholarly productivity that promotes Department, College, and University goals and objectives will also be considered. The quality and quantity of scholarly output will be used in the evaluation of scholarly productivity.

Activities Used for the Evaluation of Scholarly Productivity

- Authoring journal publications
- Authoring a book (first time/major revision)

¹ The University ASPT document defines research as "A formal procedure, which contributes to the expansion of basic knowledge or applies such knowledge to the solution of problems in society or exemplifies creative expression in a specific field of study. The results of research are communicated to professionals outside the University through a peer reviewed process in a manner appropriate to the discipline."

- Authoring one or more chapters in a book
- Making conference presentations (refereed or non-refereed)
- Developing non-proprietary computer software
- Authoring published case studies
- Developing and using case materials for instruction
- Presenting research findings in professional seminars

3. Service

- a) In accordance with the University guidelines, the department recognizes two categories of service: Professional service and University service. Professional service is the application of faculty professional expertise to needs, issues, and problems in service to professional associations as well as to business, government, not-for-profit enterprises, and the general citizenry. University service is the application of faculty expertise to the operation of governance of the University, including academic programs, departments, colleges, and other components of the University.
- b) Service contributions are tertiary, but fundamental, to the mission of our Department. The Department of Accounting values both internal and external service activities. We define internal service as departmental, college, or university activities. We define external service as professional or academic organization activities.
- c) Faculty members perform a variety of service activities consistent with their interests and the needs of the Department, College, University, and professional and academic organizations. Although it is anticipated that all faculty members perform some service activities, tenured faculty members are generally more active in all types of service than non-tenured faculty members. A faculty member's annual evaluation is linked to the type, quantity, and quality of service performed. Service activities, both internal and external to the department, related to departmental goals and objectives are valued higher in the evaluation model than other forms of service.
- d) Due to the governance structure at Illinois State, there are many opportunities for participation in internal service activities. Faculty members in the department contribute as both team and committee leaders and team and committee members at the departmental, college, and university level. Faculty members also advise the Department's six student groups: Beta Alpha Psi, Business Information Systems Club, Institute of Management Accountants' Student Chapter, National Association of Black Accountants' Student Chapter, Redbird Student Chapter of the Institute of Internal Auditors, and Student Accounting Society.
- e) Many faculty members participate at some leadership level in external academic organizations. Others chair conference sessions, review conference papers, and attend academic meetings.
- f) The Department of Accounting also encourages professional interactions. The Department values all professional internships, consulting engagements, presentations to professional groups, attendance at professional meetings, and the achievement and maintenance of professional certifications.

Factors Used for Evaluation of Service

The following factors are typical of those used for evaluation of service. Other factors that promote department and college goals and objectives will also be considered. University and Professional Service encompasses but is not limited to the following activities:

- Academic advising
- Active involvement in faculty recruitment efforts
- Active involvement in the formulation of department policies and significant contributions to department functions.
- Activities of a public relations nature such as recruiter luncheons and/or dinners, CPA awards banquets, visitations to offices of various firms, the BIS banquet, etc.
- Administering areas or programs within the department, college or university
- Advises, actively participates in, or supports student organizations such as Beta Alpha Psi, Business Information Systems Club, Institute of Management Accountants' Student Chapter, National Association of Black Accountants' Student Chapter, Redbird Student Chapter of the Institute of Internal Auditors, and Student Accounting Society
- Chairperson of a conference session at an academic conference (state, regional, national or international)
- Serves on or is chair of committees (Department, College and/or University)
- Consultation and service to civic organizations, social agencies, government, business, or industry that is related to the faculty member's teaching, research, or administrative work at Illinois State University.
- Discussant at a professional meeting
- Dissertation or thesis reader
- Holding office or completing any special assignments with a regional, national or international professional organization
- Initiates, develops and carries out significant projects at the department, college, or university level
- Leadership role in department, college or university committees
- Participation in meetings of professional groups representative of the faculty member's discipline
- Participation in professional organizations as an officer/active involvement
- Presentation of a seminar
- Presentation of a workshop at national meetings
- Presentation of a workshop locally
- Professional recognition of special competence
- Program Chair (state, regional, national, or international meetings)
- Responsible for planning and organizing workshops, seminars, or conferences for department, college, university groups
- Serves as a consultant, provides expertise or otherwise displays contributory assistance to such agencies as public accounting firms, industrial firms, and/or other business or governmental organizations
- Serves as an active member of the editorial board of a journal or a journal/conference proceedings referee
- Serving as consultant, advisor, board member to educational, civic, social, business or other groups.
- Serving on accreditation or evaluation teams

- Special appearances on scholarly programs
- Speech to a professional group
- Support of, attendance at, or participation in College of Business activities or programs
- Writing and submitting competitive grant proposals for activities primarily related to service

4. Example of Characteristics Suggesting Unsatisfactory Performance

Examples of characteristics, which, if consistently exhibited, may contribute to an unsatisfactory performance evaluation, include:

- Misses or dismisses classes unnecessarily or excessively.
- Is incompetent in his/her subject matter area as it is presented to the student.
- Shows evidence of inadequate planning for and disorganization in class presentation.
- Is unrealistic in expectations of student performance or achievement.
- Relates negatively to staff and students and shows poor judgment in staff-student relationships.
- Refuses to accept or follow established policies (this does not preclude the constructive questioning of a policy).
- Evaluate students in a meaningless way and in such a way that they do not understand when they have performed poorly or well.
- Makes little attempt to develop or expand knowledge and skills in subject area.
- Refuses to accept and carry out service assignments.
- Does not attend faculty meetings.
- Does not engage in scholarly productivity.

C. Performance Evaluation Procedures – Overall Satisfactory and Unsatisfactory Performance

1. The DFSC will provide each faculty member a rating in Instruction, Scholarly and Creative Productivity, and Service on a ten-point scale as well as an overall evaluation rating on a ten-point scale.
2. The overall evaluation rating (1-10) is the sum of a faculty member's weighted ratings in Instruction, Scholarly and Creative Productivity, and Service. Weighted ratings are calculated by multiplying a faculty member's individual evaluation rating (1-10) in Instruction, Scholarly and Creative Productivity, and Service by the percentage of his or her assignment in Instruction, Scholarly and Creative Productivity, and Service as stated in his or her faculty plan. Acceptable ranges of assignments are outlined in section V. A. 4.
3. The objective of this rating is to provide the faculty member an indication of how their rating compares to those of their colleagues. There are no limits or restrictions as to the number of faculty members receiving any rating on this ten-point scale. While unlikely, it is possible that all faculty members could receive the same rating on this scale. In addition to his or her individual rating, each faculty member will receive a summary of the number of faculty members receiving each rating on the ten-point scale.

4. An overall rating below “5” is considered unsatisfactory performance and no raise money will be allocated to any person(s) receiving such rating. Faculty members receiving an overall unsatisfactory performance are not raise eligible. An overall rating of 5 or above is considered satisfactory performance. Faculty members receiving an overall satisfactory rating are raise eligible.

D. Performance Evaluation Procedures - Salary Increment

1. The Provost shall allocate at a minimum 90 percent of the salary funds directly to departments for salary increments through the ASPT process.
2. The salary allocation to the Department will be used to fund (1) standard increments payable to all faculty members who receive an overall satisfactory performance rating and (2) performance-evaluated increments that recognize equity and short-term and long-term contributions made by particular faculty members.
3. Twenty percent of the Department's allocation shall be distributed as a standard increment. Standard increments shall be payable as an equal percentage of base salary to all faculty members who receive an overall satisfactory performance rating.
4. Eighty percent of each Department's allocation shall be distributed as performance-evaluated increments to faculty members. Performance-evaluated increments shall recognize short-term contributions and equity and long-term contributions made by particular faculty members. Performance-evaluated increments ordinarily will not be distributed equally to all faculty members.
5. Short-term contribution evaluations will be the basis for approximately seventy-five percent of the performance-evaluated increments. Equity and long-term contributions will be the basis for the remainder of the performance-evaluated increments.
6. Faculty members with an overall unsatisfactory performance evaluation shall receive no incremental raise.
7. Each year, after the salary increment process is complete, the Department Chairperson shall provide to each faculty member the departmental components of the salary increment process (standard increment, performance-evaluated increment, equity adjustment, promotion increment, other adjustments) and the salary increment dollars awarded to each component for the respective faculty member.
8. For each evaluation year, the Department shall submit to the Dean of the College of Business for approval, all salary increment recommendations for Department of Accounting faculty before implementation.
9. Faculty performance evaluation includes the mutually supportive activities of teaching, research, and service. The Department of Accounting is committed to maintaining its separate AACSB accounting accreditation. The Department has an expectation that all tenured and tenure-track faculty maintain a level of intellectual contributions sufficient to be viewed as either Scholarly Academic (SA) or Practicing Academic (PA) by AACSB International. The DFSC will use the calendar year for the current DFSC deliberations and the previous four evaluation years (a total of five years) to determine

SA or PA status. The College, Department, and AACSB recognize new Ph.D.s with an appropriate terminal degree as SA for five years beginning with the year the Ph.D. is earned. A faculty member who is not classified as SA or PA will be ineligible for the Short-Term Contributions and Long-Term/Equity Contributions portions of his or her salary increment.

E. Performance Evaluation Procedures – Short-Term Contributions (includes pre-tenure reviews)

1. The Faculty member each year submits a "Personal Data Form" (PDF). The DFSC will evaluate each tenured and probationary faculty member using the personalized PDF and other supporting evidence. Each faculty member is to include their assignments, the evidence of fulfillment of their assignments, and additional information to support their evaluation on the individualized PDF submitted to the DFSC. The PDF is used to summarize short-term contributions (one-year period). If there is disagreement among the members of DFSC concerning the interpretation of the information on the Personal Data Forms, and other supporting evidence, the faculty member who is being evaluated must be contacted and asked to clarify any discrepancies, which seem to exist.
2. In the short-term contributions evaluation of faculty members, the DFSC shall recognize that individual efforts and activities elicit different types of productivity and that the quality, quantity and thoroughness of work done by a faculty member in completing an individual assignment constitute the criteria on which performance evaluation decisions and summative reviews will be based. The DFSC shall take into account good faith efforts to fulfill the assignments.
3. During the short-term contributions review the DFSC shall normally consider the activities performed (or those reaching culmination) during the calendar year being evaluated. However, the department recognizes that for faculty development and improvement for the faculty member and for the department, performance evaluation should consider and even encourage performance that may take more than a calendar year to produce effective results. The intent here is to encourage quality as well as quantity in faculty activities. Such multi-period evaluation also has the advantage of being able to match effort/activity (within limits) and outcomes in the evaluation process.
4. Each year the DFSC will provide an evaluation identifying the strengths and weaknesses of the short-term contributions of each faculty member. Each year the DFSC will also provide an evaluation of the progress toward tenure for all probationary faculty members.
5. The DFSC will provide each faculty member an overall short-term evaluation rating on a ten-point scale. The objective of this rating is to provide the faculty member an indication of how their rating compares to those of their colleagues. There are no limits or restrictions as to the number of faculty members receiving any rating on this ten-point scale. While unlikely, it is possible that all faculty members could receive the same rating on this scale. In addition to their individual rating, each faculty member will receive a summary of the number of faculty members receiving each rating on the ten-point scale.
6. A rating below "5" is given for overall unsatisfactory performance and no raise money will be allocated to any person(s) receiving that rating.

7. The DFSC will disclose to each faculty member the dollar amount of the salary increment associated with his or her short-term contribution evaluation including where applicable, the standard increment and the performance evaluated increments and the total salary increment allocated in total to faculty members short-term contributions.

F. Performance Evaluation Procedures – Equity and Long-Term Contributions

1. It is difficult on a short-term basis to reward and recognize a faculty member's cumulative contributions that have a long-term positive impact on the Department, the College of Business and the University. This component of the evaluation model attempts to reward faculty members whose contributions deserve recognition beyond what has been accumulated through the short-term performance reward structure. As part of this component, the DFSC will address equity issues of the Department by looking at the long-term contributions of faculty members individually and in comparison with the other members of the Department.
2. Prior to November 1, 2000 all faculty members will submit a resume summarizing their long term-contributions to the Department, College of Business, and the University. New faculty members should submit their resumes on November 1 of the first year of their appointments. The resumes will be a significant component of the evidence used to evaluate the long-term contributions of faculty members. At the option of the faculty member these resumes will be available for perusal by all faculty members in the Department.
3. Each evaluation year, faculty members may submit an updated resume to replace the one currently in use by the DFSC in evaluating the long-term contributions.
4. In addition to the resumes (either in the first submission or in an update) faculty members are encouraged to provide a narrative supplement and other evidence relative to their long-term contributions.
5. Resumes, the narrative supplement, and other evidence will provide the basis for the equity and long-term contributions component of the evaluation. The DFSC will determine whether the equity and long-term contributions component will result in performance-evaluated increments (and the amount of such increments).
6. The DFSC will disclose to each faculty member the dollar amount, where applicable, of the performance-evaluated salary increment associated with his or her equity or long-term contributions evaluation and the total dollar amount allocated to equity and long-term contributions performance-evaluated salary increments.
7. A rating below "5" is given for overall unsatisfactory performance and no raise money will be allocated to any person(s) receiving that rating.

G. Guidelines for Evaluating Full-Time Regular Faculty Members Whom Do Not Have A Full Time Appointment during the Evaluation Period (Release-Time Assignment, Educational Leave, Sabbatical Leave, Etc.)

1. Any full-time regular faculty member, who requests an appointment which is less than full-time employment during the evaluation period in question, must follow the procedures outlined below before final approval is granted. Faculty members applying for a leave **MUST INITIATE IN WRITING** to the DFSC negotiations to reach an agreement (see 4 below) concerning the procedures, criteria and guidelines to be used in evaluating performance and for promotion and tenure decisions.
2. The specific purpose, objectives, and nature of the request must be explained in writing and submitted to the affected DFSC for review and approval. In order for the request to be granted, both the affected faculty member and DFSC must document in writing that the purpose, objectives, and nature of the request are directly related to the instruction (teaching), intellectual contributions, and professional and scholarly service goals of the department, COB, and Illinois State.
3. It is understood that a faculty member who is granted an appointment that is less than full-time employment at Illinois State will be evaluated by the DFSC and CFSC in accordance with the University's ASPT policies and guidelines for the evaluation period in question.
4. Prior to granting approval at the departmental level, both the affected DFSC and faculty member must reach an agreement concerning the procedures, criteria and guidelines to be used in evaluating merit performance and for tenure and promotion decisions. In reaching this agreement, it should be clearly understood how the affected faculty member's performance would be evaluated by the DFSC during the period in question. Only those off-campus activities which will impact positively on the faculty member's responsibilities to instruction (teaching), intellectual contributions and professional and scholarly service at the ILLINOIS STATE COB will be considered as appropriate for evaluation.
5. The burden of providing documentation and submitting appropriate materials to the DFSC for performance evaluation rests with the affected faculty member. The documentation and materials must clearly demonstrate that the faculty member's activities in the area of instruction (teaching), intellectual contributions, and professional and scholarly service contribute to the goals of the Department, COB, and Illinois State University.

H. Late Submission of Materials

1. No materials upon which faculty members are evaluated for ASPT purposes shall be received after the appropriate deadline as stated in the ASPT calendar unless it can be reasonably established that such materials were available prior to the deadline. The DFSC may make exceptions to this rule if in its judgment the exception is warranted.

VI. GUIDELINES FOR PROMOTION IN RANK

A. Introduction

1. The criteria for evaluating faculty members (section V. B.) should be considered with these guidelines for promotion.
2. Promotions are initially recommended and justified by the DFSC. The DFSC has the responsibility to insure that faculty members are clear as to their individual responsibilities on a yearly basis and that they are informed of the judgment of their DFSC regarding the quality of their performance. Interim appraisals of the individual's progress towards promotion must be made in writing by the DFSC annually.
3. It shall be the faculty member's responsibility to provide appropriate certification of the completion of degrees or credit hours necessary for consideration for promotion if he/she is to be considered in the recommendation of promotion for the following academic year.
4. Time spent on unpaid leaves of absence shall not be counted as progress toward promotion. Time spent on sabbatical leaves shall be counted as progress toward promotion unless the faculty member and the Provost agree in advance that it shall not be so counted.
5. Recognizing that a goal of the Department of Accounting is to continue to maintain standards of such overall quality as to warrant reaccreditation of its programs, the policies outlined below represent an attempt by the DFSC to describe general guidelines for promotion. Candidates for promotion are strongly encouraged to discuss these guidelines with the DFSC and chairperson to gain a better understanding of the guidelines and their implementation. For schools with a mix of undergraduate and graduate programs but without doctoral programs, AACSB notes² the appropriateness of a balance among basic scholarship (i.e., the creation of new knowledge), applied scholarship (i.e., application, transfer and interpretation of knowledge to improve management practice and teaching), and instructional development (i.e., the enhancement of the educational value of instructional efforts of the institution or discipline).
6. External peer evaluations, external to Illinois State University, to review the credentials of each faculty member who is a candidate for promotion are not required. If external peer evaluations are submitted by a candidate for promotion they will be included in the evaluation of the faculty member regardless of a waiver of confidentiality by the evaluator. A candidate selecting to submit external evaluations shall provide to the evaluators Department, College, and University mission statements and a written description of the candidate's assignment of efforts and activities for the entire timespan being evaluated. The written evaluations of external evaluators shall be available to the DFSC, CFSC, FRC, Provost and President as part of their deliberations on promotion. Written evaluations shall not be made available to the candidate for promotion unless the evaluator has given prior written permission pursuant to 820 ILCS 40/10.
7. Candidates for promotion must file application materials by November 1. The DFSC will notify candidates of intended recommendations to the CFSC at least 10 working days before submitting these recommendations to the CFSC (Due date to the CFSC is December 15) and provide opportunities, if requested, for the candidates to meet with the committee to discuss these recommendations.

² *Achieving Quality and Continuous Improvement through Self-Evaluation and Peer Review*. Standards for Accreditation Business Administration and Accounting, pg. 29, 51, April 1994.

DFSC Policies & Procedures -- Promotion for Assistant to Associate Professor Guidelines V.C.7 & VI.B.8 – December 5, 2006

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-- Performance Evaluation Section V. changes new C, changes in Sections D 2,3,6 - E 6 - F 7 Added November 2011 effective 2012

-- Guidelines for Promotion in Rank, Section VI. A. 6. Added-November 2011 effective 2012

-- Guidelines for Review of Tenure Recommendation, Section VII .A.10. Added-November 2011 effective 2012

-- Guidelines for Performance Evaluation Procedures—Salary Increment, Section V.D.9. Added-December 2014 Effective 2015

-- Mission Statement Revised in November of 2015. Effective for January 1, 2016. Revised Again in May 2016

8. Negative DFSC recommendations for promotion shall not be forwarded beyond the Department to the CFSC unless the faculty member submits a written request for additional review to the Department Chairperson.

B. Guidelines for Promotion from Instructor to the Assistant Professor Rank

1. For possible promotion from Instructor to Assistant Professor:
 - a) The candidate shall possess the appropriate terminal degree or its equivalent in the discipline, as determined by the Department and the College, together with other professional qualifications and accomplishments, including demonstrated teaching competence in the candidate's field of academic concentration
 - b) The candidate's continuing professional growth and professional activities should be of sufficient quality to warrant promotion to Assistant Professor.

C. Guidelines for Promotion from Assistant Professor to the Associate Professor Rank

1. The candidate shall possess the appropriate terminal degree in the discipline, as determined by the Department and the College, or sufficient stature in their field and profession, as attested to by regionally and nationally recognized accomplishments (publications, external grant awards, honors, etc.) to justify waiving the requirement of an appropriate terminal degree.
2. A candidate may bring in up to two years of full-time service at the rank of assistant professor at the college or university level in consideration for promotion to Associate Professor. An Assistant Professor is eligible for review for promotion in the fourth year of service. Promotion to Associate Professor may take effect in the fifth year. (Ordinarily, promotion to Associate Professor shall not occur prior to recommendation for tenure, see VII.B.8.)
3. The candidate's continuing professional growth and professional activities should be of sufficient quality to warrant promotion to Associate Professor.
4. The Department of Accounting places major emphasis on the quality of instruction. Candidates for promotion should expect the greatest weight during the promotion evaluation procedures to be on the instruction component.
5. The candidate must have made a significant contribution to the College's efforts to meet the generally accepted AACSB requirements for intellectual contributions. Scholarly writings submitted to meet the minimum guidelines for promotion must have either appeared in print or been unambiguously and unconditionally accepted in writing for publication. The DFSC considers factors other than quantity in their deliberations relative to scholarly productivity. For example, other factors that are considered include the quality of the publication, the number of co-authors, and whether the publication is in the author's discipline. The DFSC and CFSC determine acceptable publications.

6. Faculty members **without** prior experience at the Assistant Professor level or above at another college or university must have AT LEAST FIVE PUBLICATIONS, TWO OF WHICH APPEAR IN QUALITY REFEREED JOURNALS FOR PROMOTION TO ASSOCIATE PROFESSOR. These publications must occur during the time the candidate held Assistant Professor Rank at ILLINOIS STATE. Scholarly writings not in print, but unambiguously and unconditionally accepted in writing for publication prior to November 1 may be counted toward the current year's promotion application. Scholarly writings accepted for publication after November 1 but prior to the official date of promotion (as approved by the Board of Trustees) shall be considered for subsequent promotion.
7. Faculty members **with** prior experience at the Assistant Professor level or above at another college or university must have AT LEAST FIVE PUBLICATIONS, TWO OF WHICH APPEAR IN QUALITY REFEREED JOURNALS FOR PROMOTION TO ASSOCIATE PROFESSOR. These publications must have occurred during the time the candidate held the rank of Assistant Professor or above at Illinois State and/or the candidate's prior institution(s). Although the DFSC will consider both the quantity and quality of publications while the candidate was employed at the Assistant Professor level at Illinois State and the candidate's prior institution(s), a candidate will normally be expected to have AT LEAST TWO REFEREED JOURNAL PUBLICATIONS while holding the rank of Assistant Professor at Illinois State. Scholarly writings not in print, but unambiguously and unconditionally accepted in writing for publication prior to November 1 may be counted toward the current year's promotion application. Scholarly writings accepted for publication after November 1 but prior to the official date of promotion (as approved by the Board of Trustees) shall be considered for subsequent promotion.
8. Candidate also shows evidence of satisfactory professional and scholarly service.
9. The candidate must demonstrate proficiency in oral and written communications skills as evidenced by peer and/or student evaluations.

D. Guidelines for Promotion from Associate Professor to the Full Professor Rank

1. The candidate shall possess the appropriate terminal degree in the discipline, as determined by the Department and the College, and/or highly recognized stature in their field and profession, as attested to by regionally and nationally recognized accomplishments (publications, external grant awards, honors, etc.) to justify waiving the requirement of an appropriate terminal degree.
2. Ordinarily an Associate Professor must have served full time for at least four years at Illinois State and have completed at least ten full-time years as a faculty member at the college or university level. Review for promotion to Professor may occur in the tenth year of service. Promotion to Professor may take effect in the eleventh year.
3. The candidate's professional activities shall demonstrate an excellence of quality that reflects sustained past performance and is indicative of meritorious future performance.
4. Candidate shall have tenure or be eligible and recommended for tenure.

5. The candidate's overall performance in the area of instruction (teaching), intellectual contributions, and professional and scholarly service is judged to be of such quality as to deserve promotion to this highest rank.
6. The Department of Accounting places major emphasis on the quality of instruction. Candidates for promotion should expect the greatest weight during the promotion evaluation procedures to be on the instruction component.
7. The candidate must have made a continued and significant contribution to the College's efforts to meet the generally accepted AACSB requirements for intellectual contributions. Scholarly writings submitted to meet the minimum guidelines for promotion must have either appeared in print or been unambiguously and unconditionally accepted in writing for publication. The DFSC considers factors other than quantity in their deliberations relative to scholarly productivity. For example, other factors that are considered include the quality of the publication, the number of co-authors, and whether the publication is in the author's discipline. The DFSC and CFSC determine acceptable publications. **AT LEAST SIX PUBLICATIONS, THREE OF WHICH MUST APPEAR IN QUALITY REFEREED JOURNALS, ARE REQUIRED FOR PROMOTION TO FULL PROFESSOR.** These publications must occur during the time the candidate held Associate Professor Rank at Illinois State University.
8. For the chairperson, the candidate must have made a continued and significant contribution to the College's efforts to meet the generally accepted AACSB requirements for intellectual contributions. The candidate must have at least three publications since the last promotion at ILLINOIS STATE (or since the time of joining ILLINOIS STATE if the last promotion was at another institution), two of which must be in quality, refereed journals. Scholarly writings submitted to meet the minimum guidelines for promotion must have either appeared in print or been unambiguously and unconditionally accepted in writing for publication. The DFSC and the CFSC determine acceptable publications. If the chairperson returns to a regular faculty position, the requirements for promotion for regular faculty will apply.
9. Candidate shows evidence of ongoing significant professional and university service. This service should include leadership roles and responsibilities.
10. The candidate must demonstrate proficiency in oral and written communication skills as evidenced by peer and/or student evaluations.

VII. GUIDELINES FOR REVIEW OF TENURE RECOMMENDATION

A. Introduction

1. The nature of tenure, its recognition, and rationale is described in the ASPT document (see IX.A)
2. The criteria for evaluating faculty members (section V. B.) should be considered with these guidelines for tenure.

3. To be recommended for tenure, faculty members must serve a probationary period, as stated in their initial appointment contracts. A tenure decision will be initiated by the DFSC in a timely enough manner to allow final determination to occur at least one year before the end of the probationary period. At the end of this period, the faculty member either receives tenure or is not reappointed. An award of tenure requires the approval of the President.
4. Time spent on unpaid leaves of absence generally shall not be counted as progress toward tenure; the Provost, in consultation with the Dean and Department Chairperson may grant exceptions. Time spent on sabbatical leaves shall be counted as progress toward tenure unless the faculty member and the Provost agree in advance that it shall not be counted. A copy of that agreement shall be retained in the faculty member's personnel file. Ordinarily, a leave of absence to pursue political activity shall not be counted toward fulfillment of the probationary period of service. The faculty evaluation process also provides for a pre-tenure stop-the-clock mechanism for exceptional circumstances outlined elsewhere (see E below).
5. The probationary period at Illinois State University may not exceed seven years. This period may be reduced by full-time service as a faculty member at other institutions of higher learning. Review for tenure shall occur no earlier than in the third year of service and no later than in the sixth year of service at Illinois State. A newly-appointed faculty member with prior full-time service may be credited with up to three years' service and shall be notified in writing how many years of probationary service credit is being given and how long, therefore, the reduced probationary period of service shall be. A faculty member whose probationary period of service has been thus reduced may be considered for tenure according to the reduced period of service or request that the years of service already credited be added back to the reduced probationary period, thereby lengthening the probationary period and deferring the tenure decision. In those situations in which a faculty member chooses to extend a shortened probationary period, notification to add the credited years or a portion of the credited years to the probationary period shall be made to the Department Chairperson prior to November 1 of the year previously scheduled for the summative review for tenure. Once the process of summative review for tenure has begun, the faculty member shall not be allowed to add years to the probationary period.
6. Upon request by a faculty member, the Provost in consultation with the Dean and the department Chairperson may grant a one-year stop-the-clock extension of the probationary period with compensation. Such an extension shall be granted only in exceptional circumstances. Exceptional circumstances may include, but are not limited to, severe domestic issues, disruption of research facilities, or foreign teaching assignments. Because extension of the probationary period is intended to address unforeseen circumstances, such an extension should not be requested, nor shall it be granted, merely because a faculty member has failed to meet performance expectations. No more than one extension of the probationary period shall be granted. A stop-the-clock period will not count toward tenure.
7. The decision concerning tenure must be made at least twelve months before the expiration of the probationary period. The DFSC shall, for every faculty member whose tenure date occurs in the following year, submit its recommendation to the CFSC, which in turn will recommend to the Provost, who will recommend to the President. Departments are encouraged not to recommend early tenure except under unusual circumstances.

8. Department and University criteria for tenure shall be provided to faculty members. Under no circumstances should a candidate be promised or in any way assured of tenure.
9. It shall be the faculty member's responsibility to provide appropriate certification of the completion of degrees or credit hours before November 1 if these are to be considered in a tenure recommendation intended to become effective during the following academic year. The Provost, however, may use discretion in interpreting what constitutes "appropriate certification."
10. External peer evaluations, external to Illinois State University, to review the credentials of each faculty member who is a candidate for tenure are not required. If external peer evaluations are submitted by a candidate for tenure they will be included in the evaluation of the faculty member regardless of a waiver of confidentiality by the evaluator. A candidate selecting to submit external evaluations shall provide to the evaluators Department, College, and University mission statements and a written description of the candidate's assignment of efforts and activities for the entire timespan being evaluated. The written evaluations of external evaluators shall be available to the DFSC, CFSC, FRC, Provost and President as part of their deliberations on tenure. Written evaluations shall not be made available to the candidate for tenure unless the evaluator has given prior written permission pursuant to 820 ILCS 40/10.
11. Candidates for tenure must file application materials by November 1. The DFSC will notify candidates of intended recommendations to CFSC at least 10 working days before submitting these recommendations to CFSC (Due date to CFSC is December 15) and provide opportunity, if requested, for the candidates to meet with the committee to discuss these recommendations.

B. Criteria for Tenure

1. The DFSC considers the following factors in reviewing recommendation relating to the granting of tenure for faculty holding appointments within the Department of Accounting. Candidates for tenure are strongly encouraged to discuss these factors with the DFSC and chairperson to gain a better understanding of the factors and their implementation.
2. The granting of tenure is a major decision and should not be considered automatic once a faculty member enters the probationary period. Tenure is neither automatic nor the product of any set formula based solely on yearly performance-evaluation ratings. The following statements list the primary criteria on which tenure recommendations at Illinois State University are based. Exceptions to these criteria, while possible, shall be rare.
3. Consideration for Tenure is predicated upon terminal qualifications as acceptable to AACSB, as determined by the department and college, together with other professional qualifications and accomplishments, including competence in instruction (teaching), intellectual contributions, and professional and scholarly service in the candidate's field of academic endeavor.
4. There must be evidence of continuing high quality professional performance during the probationary period with an emphasis on the mutually supportive activities of teaching, scholarly and creative productivity, and service (see Section V of this document [for Department of Accounting Faculty Evaluation Guidelines] and Appendix 2 of the ASPT

document [for University Faculty Evaluation Guidelines]). It is also understood that the awarding of tenure carries with it the expectation for continued high-quality performance.

5. 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.
6. The candidate must have demonstrated the capability to work responsibly and knowledgeably toward the goals of the Department and the University.
7. The candidate must demonstrate proficiency in written and oral communication skills as evidenced by peer and/or student evaluations.
8. To be eligible for tenure, a faculty member should hold the rank of Associate Professor or Professor or be recommended for promotion to the rank of Associate Professor when tenure is recommended. Candidates for tenure must meet or exceed the qualifications for promotion to the rank of Associate Professor. An individual who cannot qualify for promotion to Associate Professor at the time of tenure shall ordinarily not be considered for tenure. When a candidate for tenure holds the rank of Associate Professor, they must meet or exceed the publication requirements for promotion from Assistant to Associate Professor while holding the rank of Associate professor at Illinois State.

C. Procedural Considerations Related to Tenure:

1. Evaluation of the performance of a faculty member during the probationary period is ongoing. The decision to award or deny tenure shall take into account the faculty member's performance during the entirety of the probationary period. Annual letters from the DFSC shall address the candidate's strengths and weaknesses that pertain to future tenure recommendations.
2. To this end, a written appraisal of performance, including a statement of the faculty member's potential contribution to the long-range goals of the Department, will be provided every year by the DFSC (see V.E. 4) to each full-time, probationary faculty member.
3. A summative review of a faculty member's professional activities shall be completed at the time a tenure recommendation is made

VIII. POST-TENURE REVIEWS

In compliance with Board of Trustees Policies, a post-tenure review shall be conducted for each tenured faculty member following the date of the faculty member's achievement of tenured status. The post-tenure review will commence during the next evaluation period that occurs following the faculty member's achievement of tenure.

A. Post-Tenure Review

1. Tenured faculty (as are all tenured and tenure-track faculty) are evaluated annually for the purpose of yearly accountability in teaching, intellectual contributions, and professional and scholarly service. Annual evaluations of tenured faculty also serve as post-tenure reviews.

DFSC Policies & Procedures -- Promotion for Assistant to Associate Professor Guidelines V.C.7 & VI.B.8 – December 5, 2006

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2. Post-tenure reviews are by their very nature encapsulated in the annual evaluation process through recognition and evaluation of a multi-year period (usually three years) for significant activities when appropriate. A separate cumulative post-tenure review is not required except as stipulated in section VIII.A.4.
3. Tenured faculty members may voluntarily submit their materials to the DFSC for a cumulative post-tenure review at certain junctures of their careers. Materials required for a cumulative review are stipulated in section VIII.B.3.
4. Tenured faculty members who receive an unsatisfactory performance rating, as defined by the Department of Accounting DFSC guidelines (V.C.4), during the annual evaluation process for any two years of a three-year period are required to undergo a cumulative post-tenure review.

B. Cumulative Post-Tenure Review

1. Cumulative post-tenure reviews are voluntary except as required in section VIII.A.4.
2. Cumulative post-tenure reviews have several purposes:
 - they allow tenured faculty members to evaluate their own work and their own short- and long-range professional goals in a multi-year context;
 - They allow tenured faculty members to evaluate, plan, and implement their career goals in relation to changing departmental needs. The faculty member must be supported and protected during periods of changing departmental mission by allowing each faculty member a reasonable amount of time to adjust to these changes, and by clear, written guidance and approval of plans and adjustments that may be needed;
 - they encourage Departments to assist faculty members in fulfilling faculty and department goals that pertain to teaching, scholarly and creative activity, and service;
 - they provide a measure of accountability to the University, its stakeholders and the State of Illinois;
 - they offer benefits to individual faculty members, as well. Individual faculty may wish to present their materials for a number of reasons, including obtaining “feedback” regarding teaching or research plans; obtaining access to faculty development funds or research seed money to support a developmental goal; assessing readiness for promotion or other changes such as sabbaticals or leaves of absence; making sure that the changing interests of mid- or late-career faculty can be productively and positively tied to departmental needs and departmental roles.
3. For a cumulative post-tenure review, a faculty member shall submit to the DFSC along with his/her materials for annual performance-evaluation review, an additional narrative that addresses what the faculty member considers significant accomplishments for the previous five years and describes goals for extending teaching, scholarly and creative productivity, and service initiatives over the coming five years. This narrative shall offer a more holistic sense of the faculty member's work than is

possible in a one-year time span. It shall offer as well the faculty member's projection of professional activity for the coming five years. The faculty member is thus encouraged to provide qualitative assessment of prior work and to formulate goals for the future, but the faculty member may also wish to identify specific needs, opportunities to teach or develop courses in new areas, annual assignments that include a different mix of activities, support for pedagogical or scholarly work that involves request for new equipment or facilities, etc.

4. Cumulative post-tenure review documents shall be submitted to the DFSC, which in turn will respond in writing to the faculty member. Faculty members shall have the opportunity, having received the DFSC's response, to confer with the DFSC.

IX. TERMINATION OF APPOINTMENT OF PROBATIONARY AND TENURED FACULTY

A. Probationary Faculty:

1. A recommendation for the nonreappointment of a faculty member during the probationary period must follow the regulations of the Board of Trustees. Recommendations for nonreappointment prior to a tenure decision shall be made by the DFSC in consultation with the Dean and the Provost. The Chairperson of the DFSC shall communicate the recommendation of nonreappointment in writing to the faculty member, the Dean, and the Provost. Nonreappointment can also be the result of a negative tenure recommendation. Official notices of nonreappointment, whether issued prior to a tenure decision or as a result of a negative tenure decision, are issued from the Office of the Provost.
2. Notice of termination shall be given not later than March 1 of the first academic year of service; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination; not later than December 15 of the second academic year of service; or, if the appointment terminates during an academic year, at least six months in advance of its termination; at least twelve months before the termination of an appointment after two or more years of service.

B. Tenured Faculty

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