

DEPARTMENT OF FINANCE, INSURANCE AND LAW
COLLEGE OF BUSINESS
ILLINOIS STATE UNIVERSITY

DFSC Policies, Procedures, and Evaluation Criteria
January 1, 2019 through December 31, 2019

The Department of Finance, Insurance and Law Faculty Status Committee (DFSC) will conform to the Illinois State University Appointment, Salary, Promotion, and Tenure (ASPT) Policies in effect for evaluation periods beginning January 1, 2017. If any DFSC policies and procedures are not specifically set forth in this document, the DFSC shall adopt the general policies and procedures on such matters as set forth by the College of Business Faculty Status Committee (CFSC) and University ASPT policies. In the case of a conflict between this document and either the CFSC policies and procedures or the University ASPT policies, the CFSC policies and/or University ASPT policies shall govern.

The term "faculty" in this document refers to all individuals who hold full-time tenured or probationary appointments at Illinois State University with the rank of instructor, assistant professor, associate professor, or professor. The term "faculty" excludes all individuals who are not evaluated in the ASPT process. Only individuals defined in this paragraph as "faculty" are eligible to vote for and be elected to the various committees specified in this document.

The primary objective of the Department of Finance, Insurance and Law DFSC process is to provide a fair performance review system. The DFSC recognizes each faculty member is different and has the potential of making continual and substantive contributions to the improvement of the Department. The review and reward process should be consistent with faculty contributions within the strategic plans of the department. The theme of this document is to provide a framework for positive, motivational reviews and rewards.

I. DFSC Membership and Elections

- A. The DFSC shall consist of three elected faculty members and the chairperson of the Department, who will be an ex officio voting member and Chairperson of the DFSC. The length of service for DFSC members shall be for staggered terms of two years each. No faculty member may serve for more than two consecutive terms on the DFSC. A majority of the DFSC membership shall be tenured faculty. 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.

The review and recommendation process for faculty members elected to serve on the DFSC shall be to: (a) preclude DFSC members from evaluating themselves or participating in any evaluative discussions for promotion and/or tenure reviews; (b) disallow DFSC members from any group discussions and performance reviews of their own annual performance; and c) preclude DFSC members from evaluating or participating in any evaluative discussions that relate to family members.

B. Elections

On or before April 1, the Chairperson shall announce to the faculty the positions open on the DFSC and the date for submission of nominations and the date of the election. The tenured and probationary tenure faculty will elect DFSC members annually, by secret ballot or anonymous electronic survey returned to the department office, by May 1. The election shall

take place over three consecutive business days and proxy votes are not allowed. The term of a newly elected DFSC member starts with the fall semester.

The ballot shall list candidates in alphabetical order (last name first).

To be elected, a candidate must receive a number of supportive votes equal to or exceeding a simple majority of those voting. Given this majority, when a position is to be filled, the faculty member receiving the largest number of votes will be elected. If a majority is not achieved, there will be a run-off election of the top two vote-getters for each open seat. Election ties will be broken by lot.

Mid-term DFSC vacancies shall be filled by secret ballot or anonymous electronic survey. The candidate receiving the majority of votes from those casting votes shall be elected. The newly elected member shall serve to the end of the uncompleted term. The newly elected member may serve up to two additional consecutive terms on the DFSC.

II. General Procedures and Definitions

A. Establishment of DFSC Policies and Procedures

1. Annually by March 31, the DFSC must review department policies and procedures based on that academic year's work and any informal faculty input, in order to identify areas that may need updating, either immediately or at the next five-year review. Recommended changes must be voted upon at a general faculty meeting by all of those eligible to vote for DFSC members, and must be approved by over half of those eligible to vote who attend the meeting.
2. At least every five years, the DFSC shall formally invite input from department faculty members at a department meeting regarding recommended revisions to the Department policies and procedures, including 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 the input, the DFSC shall present to the faculty members the revisions that it endorses. Following discussion and possible amendments, the department faculty members will vote upon the proposed revisions. Recommended changes must be voted upon at a general faculty meeting by all of those eligible to vote for DFSC members, and must be approved by over half of those eligible to vote who attend the meeting.

B. Collection of Information and Recommendations Regarding Status of Individual Faculty Members

1. All DFSC deliberations shall be confidential and files of the Committee shall be managed in keeping with the University ASPT Policies.
2. The DFSC shall develop a systematic procedure to collect information from faculty for use in making individual status decisions. Each full-time faculty member shall complete a Personal Activity Report, supply a current vita, and provide other pertinent information. The information collected by the DFSC may be used to evaluate the performance of the faculty members for annual reviews, tenure and promotion considerations and five-year post-tenure reviews.

The format and content of the Personal Activity Report to be filed by each faculty member annually is as attached in an appendix to this document. Electronic submission of the activity report is encouraged. Items that are difficult or impossible to document electronically may be submitted directly to the Chairperson. Annual reports are due by January 5 of each year.

3. Each DFSC member shall individually evaluate each tenured and probationary tenured faculty member using the Personal Activity Report and other supporting evidence.

External written peer reviews for the purpose of Promotion and/or Tenure are voluntary supporting evidence requested by candidates. Written external reviews are not available to candidates without the evaluator's written waiver of confidentiality. External review letters must be submitted directly by the external evaluator to the DFSC.

4. Once each member of the DFSC has completed the review of each faculty member, the committee will review the findings. If there is disagreement among the members of the DFSC concerning the interpretation of the information on the Personal Activity Report, the faculty member who is being reviewed will be contacted and asked to clarify any discrepancies that seem to exist. In reviewing the data collected, the DFSC will give careful consideration to the responsibilities of the faculty as assigned by the department chairperson.
5. 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 not available prior to the deadline.
6. The recommendations of other departments or areas in which a faculty member has appointment responsibilities will be sought where there are dual faculty assignments.
7. The DFSC will also report its recommendations regarding performance review ratings, promotions, and tenure to the CFSC. Individual DFSC members not in agreement with the consensus of the DFSC may submit a minority report to the CFSC.

C. Interim, and Summative Appraisals

1. "Interim appraisal" is defined as a written review of a faculty member's professional activity and performance related to promotion and/or tenure. The Chairperson of the DFSC shall complete this evaluation every year until such time as the faculty member is promoted to Professor and has tenure.
2. "Summative appraisal" is defined as a written summary and evaluation of a faculty member's professional activities at ISU up to the time when a Department decision regarding tenure or promotion is made. This appraisal explains a departmental promotion or tenure recommendation and is to be completed by the Chairperson of the DFSC only at the time an individual is recommended for promotion and/or tenure.
3. In addition, five-year evaluations of all tenured faculty members with the rank of Professor shall be made in compliance with Board of Trustees Policies.

III. Responsibilities

A. Responsibilities of Faculty Members

1. **Teaching.** The primary responsibility of most faculty members is classroom instruction; this includes maintaining a current knowledge of one's field, communicating ideas effectively to students, making instruction relevant, evaluating the effectiveness of learning and maintaining high academic standards.
2. **Research, Scholarly Productivity.** Faculty members are also generally expected to be productive scholars. Scholarly productivity or research expectations vary with the nature of an individual faculty member's assignment. Faculty who are allowed time for research activities, for example, are expected to be more productive in research and publication than those who teach a full twelve-hour load.
3. **Service.** Faculty members are generally expected to render service through professional involvement within or beyond the University through such activities as (1) service to department, college, or University through committee membership, administrative assignments, or other such functions; and (2) service to the professional community through membership and involvement in professional organizations, consulting services, or other such activities.
4. **Policy on Faculty Outside Employment.** The College of Business recognizes the important role that such outside employment activities as consulting and training can play in the professional development of the faculty, enhancement of the College's outreach activities, enriching classroom discussions, and creating opportunities for faculty/student internships and student projects. As such, the College encourages faculty involvement in such work when it is consistent with the goals of the College and University. However, faculty must be aware that their outside employment activities are expected to conform to the following requirements:
 - a) Consistent with the University's current generally accepted standard on outside employment, the extent of such activities during the academic year when faculty are under contract at the University should not exceed an average of 1 day (7.5 hours) per week.
 - b) In accordance with the State laws, Board of Trustee's policy, and/or the University policy on outside employment, tenured and tenure-track faculty members must:
 - i. Obtain prior written approval for outside employment from the President or his designee. The University's "Request for Approval of Outside Employment" form (see attached) requires obtaining the approval of the faculty member's Department Chair, College Dean, and Provost.
 - ii. Complete and submit to the College Dean (by year's end – June 30th) an "Annual Report of Outside Employment" form. The form includes reporting of the actual time the faculty member spent on the activity during the preceding 12-month period.

- c) As a general rule, the timing of the outside employment activities should not conflict with the faculty member's teaching, service and intellectual contribution responsibilities. However, in the unusual event that such a scheduling conflict is unavoidable, (a) the Department Chair must be kept informed and his/her consent must be obtained, and (b) the conflict should not cause the faculty member to be personally absent from the teaching responsibilities associated with his/her class(es) more than once during the semester.

B. Responsibilities of the Departmental Faculty Status Committee (DFSC):

- 1. Departmental Policies. The DFSC is charged with developing departmental policies and procedures in regard to appointment, reappointment, performance-review, promotion, tenure and post-tenure review for use within the Department.

Anonymous communications (other than officially collected student reactions to teaching performance) shall not be considered in any evaluative activities.

- 2. Recommendations. The DFSC should collect information (including but not limited to systematically gathered student reactions to teaching performance) and make recommendations regarding faculty appointments, reappointments, non-reappointments, dismissals, contracts, merit ratings, salary equity adjustments, promotions and tenure.
- 3. Policies Regarding Performance-Evaluated Salary Increments. The DFSC has the responsibility to develop departmental policies and procedures for the allocation of moneys devoted to performance-evaluated salary increments and salary equity adjustments.
- 4. Communication with Faculty. The DFSC has the duty to inform departmental faculty members of its recommendations and the Chairperson's recommendations (if required by University ASPT Procedures) pertaining to their rank, tenure status, and salary increment, and report its recommendations to the CFSC.

IV. Appointment Policies

- A. An ad hoc search and screen committee, initially led by the Chairperson and including four (4) other tenured or tenure probationary faculty members in the Department of Finance, Insurance and Law, is responsible for the recruitment of potential tenure-line faculty members. Two of the search and screen members shall be elected by faculty members that are not DFSC members, one search and screen committee member shall be appointed by a majority vote of the elected members of the DFSC, and one search and screen committee member shall be appointed by the Chairperson. Faculty members will elect search and screen committee members by secret ballot or anonymous electronic survey returned to the department office. To be elected, a candidate must receive a number of supportive votes equal to or exceeding a simple majority of those voting. If a majority is not achieved for either open seat, there will be a run-off election based on a simple plurality vote for the top three vote-getters without a majority vote. Election ties will be broken by lot. The election shall take place over three consecutive business days and proxy votes are not allowed. Upon selection, the search and screen committee shall elect a chair, who may be the department Chairperson.
- B. The Chairperson assists in the organization and administration of the search process and oversees implementation of appropriate search procedure in all cases as a non-voting member of the

committee. If a search and screen committee member is also a DFSC member, the DFSC member is a non-voting member of the search and screen committee.

- C. Any faculty member may be involved in the recruitment of indications of interest for the open position. All individuals involved in formal or informal recruiting efforts shall receive search committee training from the ISU Office of Human Resources. The search committee shall be responsible for reviewing and selecting an initial pool of applicants for review. The list of applicants and their application materials shall remain confidential and accessible only to the search and screen committee. Candidates are selected by the search and screen committee and are determined from the list of applicants willing to visit campus.
- D. All tenured and tenure-track faculty members shall be given the opportunity to review candidates' credentials (without references) after the search and screen committee's selection but prior to campus visits. All tenured or tenure probationary faculty members shall be given the opportunity to respond to the proposed appointment on the Recommendation for Academic Appointment form.
- E. Following completion of an on-campus interview, the search and screen committee shall evaluate the candidate(s) interviewed and make a formal recommendation to the department Chairperson and the DFSC. The search and screen committee may recommend that a general meeting of the department faculty be held to discuss recruiting prior to the DFSC recommendation. The DFSC shall review the recommendations of the search and screen committee and make a hiring recommendation to the college Dean and the Provost. 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 of the Department. Once a hiring recommendation is approved by the Dean's Office and the Provost's Office, all negotiations with the selected candidate shall be carried out by the department Chairperson, keeping the search and screen committee, DFSC, Dean's Office and Provost's Office informed.
- F. After approval of the offer letter by the Dean and the Provost, a letter of intent shall be issued by the department Chairperson that sets forth essential elements of employment for the prospective faculty member and provides information about the department, college and university. Employment will not begin until an appointment contract is issued by Illinois State University.
- G. The hiring of a full-time non-tenure track faculty member must involve deliberation by the Department Faculty Status Committee.
- H. Policies for Termination of Employment
 1. A recommendation for the termination of employment during tenure or a probationary tenure period must follow regulations of the Board of Trustees of Illinois State University.
 2. The DFSC shall be responsible for conducting pre-tenure reappointment reviews. A pre-tenure reappointment review is a review 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. For probationary faculty, the DFSC shall annually discuss and recommend approval or denial of reappointment in accordance with ASPT policy and until such time as the faculty member has been recommended for or denied tenure in the University or has been given a notice of non-reappointment. Recommendations for non-reappointment of a faculty member

prior to a tenure decision must be made by the DFSC in consultation with the Dean and the Provost. The Chairperson of the DFSC shall communicate the recommendation of the non-reappointment in writing to the faculty member, the Dean and the Provost. Official notices of non-reappointment, whether issued prior to a tenure decision or as a result of a negative tenure decision, are issued by the Office of the Provost.

3. Dismissal of a tenured faculty member may only be effected by the University for adequate cause as defined by the University ASPT document, as amended, and under procedures established at the university level.

V. Faculty Assignments and Faculty Review

- A. The Chairperson shall communicate to all faculty members in writing and in a timely manner, courses they are expected to teach and whether the Department will allocate to them reassigned time for the completion of activities that do not involve direct classroom instruction. Faculty assignments will be defined in writing so that faculty members understand the nature of their assignments for the coming year.
- B. In the performance review of faculty members, the DFSC shall recognize that individual efforts and activities elicit different types of productivity and that the quality and thoroughness of work done by a faculty member in completing an individual assignment constitute the criteria on which performance reviews decisions and summative reviews may be based.
- C. Prior to Departmental performance reviews, faculty members shall provide to the DFSC a report on their assignments on a Personal Activity Report (PAR) to be provided by the DFSC and a current vita. Faculty reports shall specifically describe the accomplishment of assignments.
- D. Any full-time regular faculty member, who requests an appointment which is less than full-time employment at ISU during the evaluation period in question, must obtain the written permission of the DFSC, the Dean and the Provost. A faculty member who is granted an appointment that is less than full-time employment at ISU will be evaluated by the DFSC and CFSC in accordance with the University's ASPT policies and guidelines for the evaluation period in question.
- E. 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 not available prior to the deadline.

VI. Promotion Policies

A. Introduction:

It is the responsibility of the DFSC to develop specific guidelines and criteria for promotion in rank. Faculty to be considered for promotion in rank in the Department are expected to provide evidence of a sustained record of merit performance or exceptional performance in the areas of instruction (teaching), intellectual contributions and professional and scholarly service. Since each yearly performance review focuses only on a short segment of one's career, the summation of these yearly evaluations should be only part of the evidence presented for tenure and/or promotion recommendations. The faculty member shall also present a vita detailing his/her total professional development.

B. General Guidelines:

The following guidelines are used by the DFSC in recommending faculty members for promotion in rank:

1. Promotions are neither automatic nor the product of any set formula.
2. The Department Chair shall provide the requirements for promotion to the faculty with their employment. Under no circumstances should a faculty member be promised or in any way assured of promotion.
3. The Department Faculty Status Committee (DFSC) will normally initiate promotion recommendation.
4. The recommendation must be consistent with stated policies, regulations, and practices of the Board of Trustees and the University.
5. The DFSC, with approval of the College Faculty Status Committee (CFSC), shall annually provide the faculty member a written "interim appraisal." An interim appraisal is defined as a written review of a faculty member's professional activity and performance related to promotion and tenure.
6. The faculty member must provide appropriate certification of the completion of degrees and other standards of teaching, professional and scholarly productivity, and professional and scholarly service necessary for promotion.
7. 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. Copies of such scholarly writings, which may include final drafts of such unambiguously and unconditionally accepted manuscripts, must be available for review by the DFSC and CFSC. Each faculty member shall provide copies of all published articles to the Chairperson. No publication or acceptance shall be claimed unless the faculty member has provided the committee with either (1) a signed letter or electronic message of acceptance from the editor of the publication and a copy of the final manuscript; or (2) a copy of the published article. The DFSC reserves the right to obtain further information about the status of any article from the editor of any publication. No article shall be counted more than one time, either as an acceptance or as a published article for purposes of promotion in rank. Conditional acceptances and oral acceptances will not be counted.
8. For persons being considered for promotion, the faculty in the department holding higher rank than the applicant shall be polled as to whether or not they would recommend the promotion. The results of the polls are made available to the DFSC as advisory information. Candidates have the right to access the advisory poll documents and respond thereto. A form of the poll document to be used is attached as Exhibit B-1.
9. 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.

C. Minimum Guidelines for Consideration for Promotion of Instructor to Assistant Professor Rank:

1. The candidate will normally have a terminal degree or its equivalent in his/her discipline, as determined by the department and College, together with other professional qualifications and accomplishments, including demonstrated teaching competence in the candidate's field of academic concentration.
2. The candidate's continuing professional growth and professional activities should be of sufficient quality to warrant promotion to Assistant Professor.

D. Minimum Guidelines for Consideration for Promotion of Assistant Professor to Associate Professor Rank:

1. The candidate will possess the appropriate terminal degree for his/her discipline as determined by the department and College or sufficient stature in their field or profession, as attested to by regionally and nationally recognized accomplishments 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. Ordinarily, promotion to Associate Professor shall not occur prior to recommendation for tenure.
3. The FIL Department wants to maintain a community of educators with a healthy desire to conduct research leading to publication. The Department equally values empirical research, theoretical research, and research on pedagogy in Finance, Insurance, & Law. To this end, the Department is setting publication requirements, the achievement of which indicates a reasonable probability that a candidate for promotion is committed to continuing productivity in research. A candidate for promotion to Associate Professor must have made a significant contribution to scholarly and creative activity, including a satisfactory level of publications. Acceptable publications are determined by the DFSC. Ordinarily at least six publications related to the candidate's discipline are required for promotion to associate professor. (See Paragraphs a., b., and c., below for exceptions.) All six publications must occur during the time that the candidate held Assistant Professor rank at Illinois State University. Publications that occur after December 31 but prior to the actual date of promotion (as approved by the governing board of Illinois State University shall be considered for a subsequent promotion. The following additional rules apply to the publication requirement:
 - a. At least four of the six publications must appear in quality refereed journals. The remaining two publications may be either: (1) quality refereed journal(s); or (2) qualified non-refereed journal(s) as defined in d., below.
 - b. It shall be the DFSC's responsibility to determine whether a specific publication is a "qualified non-refereed publication." A candidate for promotion may request the DFSC to determine whether a specific publication qualifies at any time prior to an application for promotion, and that determination will be binding at the time of actual candidacy. In general, the DFSC will consider the following factors in determining whether a specific publication is a qualified non-refereed publication for purposes of promotion:

- i. The publication is within the mission of the Department of Finance, Insurance and Law and the College of Business at Illinois State University;
 - ii. The publication is of substantial intellectual rigor and quality;
 - iii. The publication reaches a wide audience of practitioners and/or academics; and
 - iv. The publication is a significant addition to the candidate's scholarly and creative productivity as defined in IX, C., below.
 - v. One publication that appeared in refereed proceedings may be counted as a qualified non-refereed publication. No more than one refereed proceedings publication may be used for promotion to Associate Professor.
 - c. The DFSC may grant promotion under special circumstances if the applicant has published fewer than the required number of articles if one or more of the articles is of such significant quality and importance to the discipline that promotion is warranted. The DFSC shall not grant promotion under this section except under the most exceptional circumstances.
 - d. Law reviews shall be considered as refereed journals for the business law discipline if they are generally considered for tenure or promotion of faculty in accredited law schools.
- E. Minimum Guidelines for Consideration for Promotion of Associate Professor to Full Professor Rank:
1. The candidate will possess the appropriate terminal degree for his/her discipline as determined by the department and College and/or highly recognized stature in their field or profession, as attested to by regionally and nationally recognized accomplishments 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 University 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. To be considered for nomination to the rank of Professor, the individual must be tenured or is currently being considered for tenure.
 4. The candidate's overall performance in the areas of instruction (teaching), intellectual contributions, and professional and scholarly service is judged to be of such quality as to deserve promotion to the highest rank. Promotion to the rank of Professor is recognition of very significant contributions in Instruction (teaching), Intellectual Contributions, and Professional or Scholarly Service. Candidates promoted to the rank of professor will have demonstrated leadership in their past performance and are expected to continue to provide this leadership after promotion to the rank of Professor.
 5. The candidate's professional activities should demonstrate an excellence of quality that reflects sustained past performance and is indicative of meritorious future performance.
 6. The FIL Department wants to maintain a community of educators with a healthy desire to conduct research leading to publication. The Department equally values empirical research,

theoretical research, and research on pedagogy in Finance, Insurance, & Law. To this end, the Department is setting publication requirements, the achievement of which indicates a reasonable probability that a candidate for promotion is committed to continuing productivity in research. A candidate for promotion to Professor must have made a significant contribution to scholarly and creative activity, including a satisfactory level of publications. Acceptable publications are determined by the DFSC. Ordinarily at least eight publications related to the candidate's discipline are required for promotion to professor. All eight publications must occur during the time that the candidate held Associate Professor rank at Illinois State University. Six of the eight publications must be in quality refereed journals. The remaining two publications may be in any combination of (1) quality refereed journal(s); or (2) qualified non-refereed journal(s), as defined in b., below).

The following additional rules apply to the publication requirement:

- a. It shall be the DFSC's responsibility to determine whether a specific publication is a "qualified non-refereed publication." A candidate for promotion may request the DFSC to determine whether a specific publication qualifies at any time prior to an application for promotion, and that determination will be binding at the time of actual candidacy. In general, the DFSC will consider the following factors in determining whether a specific publication is a qualified non-refereed publication for purposes of promotion:
 - i. The publication is within the mission of the Department of Finance, Insurance and Law and the College of Business at Illinois State University;
 - ii. The publication is of substantial intellectual rigor and quality;
 - iii. The publication reaches a wide audience of practitioners and/or academics; and
 - iv. The publication is a significant addition to the candidate's scholarly and creative productivity as defined in IX, C., below.
 - v. One publication that appeared in refereed proceedings may be counted as a qualified non-refereed publication, in addition to the refereed proceedings publication considered for promotion to Associate Professor. No more than one refereed proceedings publication may be considered for promotion to Professor.
 - b. The DFSC may grant promotion under special circumstances if the applicant has published fewer than the required number of articles if one or more of articles is of such significant quality and importance to the discipline that promotion is warranted. The DFSC shall not grant promotion under this section except under the most exceptional circumstances.
 - c. Law reviews shall be considered as refereed journals for the business law discipline if they are generally considered for tenure or promotion of faculty in accredited law schools.
7. The candidate must meet, on a career basis, the cumulative minimum publication standards that currently apply for promotion from Assistant to Associate as well as Associate to Full Professor. However, not all of these publications must have occurred while the candidate was a faculty member at Illinois State University.

VII. Tenure Policies

A. Nature of Tenure:

1. The 1940 Statement of Principles on Academic Freedom and Tenure states: "After the expiration of a probationary period, teachers or investigators should have permanent or continuous tenure, and their services should be terminated only for adequate cause, except in the case of retirement for age, or under extraordinary circumstances because of financial exigencies." The 1940 Statement also provides a rationale for tenure:

"Tenure is a means to certain ends; specifically: 1) Freedom of teaching and research and of extramural activities, and 2) a sufficient degree of economic security to make the profession attractive to men and women of ability. Freedom and economic security, hence, tenure, are indispensable to the success of an institution in fulfilling its obligation to its students and to society."

2. Recognition of the tenure concept and its rationale are provided in the Board of Trustees Governing Policy for Illinois State University and the Illinois State University Constitution. Briefly summarized, academic tenure is an arrangement under which faculty appointments, after successful completion of a probationary period, are continued, subject to dismissal for adequate cause or unavoidable termination because of bona fide financial exigency or termination or reduction of an institutional program, until retirement. Termination due to financial exigency or program elimination or reduction must be in accordance with University and Board of Trustee policies. The probationary period is that period of professional service during which a faculty member does not hold tenure and is carefully and systematically observed by colleagues for the purpose of review of his professional qualifications. At the end of this period, the faculty member either receives tenure or is not reappointed.

B. General Tenure Policies:

1. Tenure recommendations must conform to the stated policies of the Board of Trustees and be consistent with policy statements on affirmative action. Reference should be made to current regulations as published by the Board.
2. Candidates for tenure must meet or exceed the qualifications for promotion to Associate Professor.
3. Tenure is not automatically attained. In order to be recommended for tenure, faculty members must serve a probationary period, as stated in their contracts. A tenure decision will be initiated at such a time so that a determination has been made at least one year before the end of the probationary period by the Departmental Faculty Status Committee
4. Time spent on unpaid leaves of absence generally shall not be counted 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 should not be counted. A copy of that agreement shall be included in the faculty member's personnel file. Ordinarily a leave of absence will not count toward the fulfillment of the probationary period of service.

5. The probationary period at Illinois State University ordinarily may not exceed seven years. This period may be reduced to four years by "full-time" service on other faculties of 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 University. 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 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. 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 Department of Finance, Insurance and Law will not recommend early tenure except under unusual circumstances. When candidates are recommended for tenure before the last year of the probationary period, should the recommendation not be accepted, the candidate may finish the probationary period and may reapply for tenure.
 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 it is to be considered in recommending tenure for the following academic year. The Provost, however, may use discretion in interpreting "appropriate certification."
 10. For persons being considered for tenure, the faculty in the department holding tenure shall be polled as to whether or not they would recommend tenure. The results of the polls are made available to the DFSC as advisory information. Candidates have the right to access the advisory poll documents and respond thereto. A form of the poll document to be used is attached as Exhibit B-2.
- C. Criteria for Tenure: The granting of tenure status is a major decision and should not be considered as automatic once one enters a probationary period. Tenure is neither automatic nor the product of any set formula based solely on yearly performance-review ratings. The statements below are

the primary criteria considered important at Illinois State University in making a tenure recommendation. Exceptions to these criteria, while possible, will be rare.

1. Consideration for tenure is predicated upon receipt of a terminal degree or its equivalent in the discipline, as determined by the department and College, together with other professional qualifications and accomplishments, including demonstrated teaching competence, research and service in the candidate's field of academic endeavor.
2. There must be evidence of continuing high-quality professional performance during the probationary period with emphasis upon the mutually supportive activities of teaching, scholarly and creative productivity, and service. It is also understood that when a judgment for tenure is made there is an expectation for the high-quality performance to continue.
3. The candidate's competencies must be in keeping with the long-range goals of the department, College and the University if tenure is to be recommended.
4. The candidate must have demonstrated the capability to work responsibly and knowledgeably toward the goals of the department, College and the University.
5. To be eligible for tenure, a faculty member should hold the rank of Associate Professor or Professor or be recommended for promotion to the rank of Associate Professor when tenure is recommended. An individual who cannot qualify for promotion to Associate Professor at the time of tenure shall ordinarily not be considered for tenure.
6. The Department requires that faculty desiring tenure demonstrate a continuing commitment to and record of research and scholarly activity, which is likely to extend throughout the faculty member's professional career. Normally such a commitment will be demonstrated by consistent and ongoing research investigations and a consistent record of publications. The DFSC may consider, among other things,
 - a. the number of publications generated by the faculty member during his/her probationary period;
 - b. the number of peer reviewed publications during that same period;
 - c. the probationary faculty member's publication and research record at other institutions prior to coming to Illinois State;
 - d. the quality of journals or other publications in which the faculty member has published;
 - e. the nature and quality of publications and their importance to the faculty member's discipline;
 - f. the amount of effort necessary for any publication;
 - g. whether the existing publications indicate a likelihood that the faculty member will continue to make a contribution to the research and literature of his/her discipline throughout his/her professional career;

- h. non-published research activities including internal and external grant submissions and awards;
- i. the quality, extent, focus, and progress of current research efforts underway.

For purposes of this section, the term "peer review" will mean any publication that only accepts manuscripts subject to review by objective external independent reviewers with training, education and/or experience similar to that of the probationary faculty member. Law reviews shall be considered as peer reviewed for the business law discipline if they are generally considered for tenure or promotion of faculty in accredited law schools.

D. Procedural Considerations Related to Tenure.

1. Evaluation of a faculty member during the probationary period is a continuing process, which avoids a single judgment in the final year before the tenure recommendation is to be made. Inherent in the tenure evaluation process is the responsibility at the departmental level to communicate to the probationary faculty member areas of both strength and weakness in his/her progress toward tenure on an annual basis.
2. 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 to each full-time, probationary faculty member.
3. A summative appraisal of an individual's professional activities will be made at the time a tenure decision is being made.
4. Each faculty member seeking tenure shall provide copies of all published articles to the Chairperson. No publication or acceptance shall be claimed unless the faculty member has provided the committee with either (1) a signed letter or electronic message of acceptance from the editor of the publication and a copy of the final manuscript; or (2) a copy of the published article. The DFSC reserves the right to obtain further information about the status of any article from the editor of any publication. No article shall be counted more than one time, either as an acceptance or as a published article. Conditional acceptances and oral acceptances will not be counted.

VIII. Post-Tenure Reviews

- A. Cumulative, multi-year post-tenure review is no longer mandated at the University level except as specified in (E) below.
- B. Board of Trustee's policies continues to require a post-tenure review but annual performance reviews after tenure will meet this requirement.
- C. Except as specified in (E) below, the Department of Finance, Insurance, and Law no longer requires a single, five-year post-tenure review for all faculty members, as was the case prior to revisions in the January 1, 2006 document (by vote in a department meeting held on December 2, 2005). We believe that to be fair and effective, post-tenure review is an on-going process and is implicit in the annual review of faculty members.

- D. University ASPT Policies make it clear that all kinds of post-tenure reviews, including annual reviews, are carried out in the context of formative review, respect for academic freedom, and respect for planned career development.
- E. Despite part C above, a cumulative, multi-year post-tenure review is nevertheless mandated by University level policy, in the case of faculty members who receive an unsatisfactory performance rating for any two years of a three-year period. The process for cumulative post-tenure review is clearly specified in the Faculty Appointment, Salary, Promotion, and Tenure Policies.
- F. Although not mandated, the department would honor an individual faculty member's voluntary request to undergo a cumulative, multi-year post-tenure review.

IX. Annual Performance Reviews

A. General Considerations and Procedures

1. The DFSC shall conduct an annual performance review of each faculty member subject to the ASPT system.
2. Criteria for the performance review process are intended to provide direction to the DFSC. The three performance review categories are instruction, intellectual contributions, and professional and scholarly service. The following criteria will be considered in the review process for annual contributions, equity and long-term contributions, post-tenure reviews, reappointment, promotion and tenure.
 - a. The Department places major emphasis on the quality of classroom instruction and improvement of the quality of curricula. Classroom instruction must receive the heaviest weight in evaluating faculty performance for annual contributions, equity and long-term contributions, post-tenure reviews, reappointment, promotion, and tenure. Student course ratings will be a part of the instruction review process. Student course ratings should weigh between 50% and 65% in the review of a faculty member's performance in instruction as determined by the DFSC in January for the coming year. The remaining weight in the instruction category must be attributed to other faculty and student interaction, innovation or development activities in which the focus is on student gains in skills, knowledge, understanding, and personal growth.
 - b. During the annual performance review, the DFSC shall consider activities performed (or nearing completion) during the calendar year being evaluated but give due attention to long-term contributions made by the faculty member.
 - c. Faculty shall be categorized as either "satisfactory" or "unsatisfactory." No further formal categories shall exist. Faculty shall be notified in writing of the faculty member's performance review and of any recommended change in rank and/or tenure status. This letter will provide an assessment of the faculty member's strengths and weaknesses and, when applicable, progress toward achievement of promotion and tenure.
 - d. Persons evaluated as having "unsatisfactory" performance shall be informed in writing of the reasons that these ratings were given.

- e. Following completion of appeal hearings held by the CFSC, the DFSC shall submit to the Dean a final list of faculty member overall performance reviews.
- f. The DFSC annual performance review shall be based on a ten-point scale for each faculty member. The objective of this rating is to provide an indication of how a faculty member’s rating compares to 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. Each performance category (instruction, intellectual contributions and professional and scholarly service) shall receive a separate numerical DFSC rating.
- g. Three different weighting schemes of instruction, intellectual contributions and professional and scholarly service are available to faculty members. One scheme of the three is selected by each faculty member at the start of the performance review year. The three different weighting schemes are:

Scheme	Instruction	Intellectual Contrib.	Service
Research Emphasis	50%	40%	10%
Traditional	50%	30%	20%
Service Emphasis	50%	20%	30%

Reassignment of a faculty member’s responsibilities, such as for but not limited to a sabbatical leave, results in a different weighting of instruction, intellectual contributions and professional and scholarly service.

A faculty member may select a weighting scheme different from the traditional scheme for the coming year at the time that Personal Activity Reports are due in January. If a faculty member does not select a weighting different from the traditional scheme, the traditional scheme will be used for the coming year. The annual performance review letter will provide the selected ex-ante weighting scheme for each faculty member and the faculty member’s assignment for the coming year.

- h. The minimum expectation for faculty members to receive an overall satisfactory performance review is based on the weighted-average rating determined by the DFSC and the faculty member’s weighting scheme. That is, a favorable rating in instruction can offset an unfavorable rating in intellectual contributions for a faculty member. The weighted-average rating of a faculty member that excels in all areas of responsibility (instruction, intellectual contributions and professional and scholarly service) will exceed the weighted-average rating of a faculty member that exceeds in two areas or one area of responsibility.

An overall (weighted-average) annual review rating of “4” or less on a ten-point scale indicates unsatisfactory performance for the annual evaluation time period. Satisfactory performance is indicated by a faculty member earning an overall annual review rating of more than “4” on a ten-point scale.

B. Review of Instruction

It is the policy of the department to place the heaviest emphasis on classroom instruction in performance review. Review of instruction may include, but is not limited to, the following teaching-related elements. These items need not receive equal weight.

1. Student course ratings.
2. Individual student comments attached to student course ratings.
3. Verifiable information regarding teaching abilities provided the DFSC from independent sources (e.g., peer-reviews describing the teaching abilities of the faculty member). Oral statements or anonymous information will not be considered by the DFSC.
4. Nature of the course and students, level and subject matter of the course, and time at which the class section is taught. The Department recognizes the challenges attendant to teaching upper division material to majors, but also those that accompany teaching introductory courses that serve broader College or University constituencies. The largely non-major students who take the Department's service courses, often in very large sections, can place considerable demands on a faculty member's time through their need for help with material that is outside their comfort zones. The Department understands that effort devoted to dealing with service course students and preparing basic level teaching materials is not easily integrated into the faculty member's research activities. Other criteria that the DFSC may recognize are the need for intensive grading, such as in a writing-intensive course (so designated by the University or self-designed by the faculty member).
5. Size of class taught.
6. Whether the class requires a new preparation.
7. Use of innovative instructional techniques.
8. Voluntary peer evaluations.
9. Voluntary reviews by the department chairperson.
10. Teaching loads.
11. The amount and purpose of reassigned time granted for instruction or curricular development.
12. Holding regularly scheduled office hours.
13. Improving the quality of curricula.
14. The quality of course syllabi and teaching philosophy statements and the revision/updating of these documents as appropriate to reflect changes in a course, changes in the broader academic environment and specific feedback from students, the DFSC, or other relevant constituents. Questions of quality arise if a syllabus fails to describe the course and convey the faculty member's expectations for student involvement and performance in a manner that is clear to an objective reader. Questions of quality arise if a teaching philosophy statement is not clearly written, or if the expressed philosophy is inconsistent with the faculty member's demonstrated practices in conducting classes and dealing with students.
15. Presence of characteristics of the effective practice of university teaching in course syllabi.
16. Recognition of meritorious teaching by winning a teaching award or achievement citation.
17. The Personal Activity Report narrative on teaching.
18. Participation in Center for Teaching, Learning and Technology activities.

For purposes of student course ratings of faculty teaching performance, the DFSC will use the student course rating form found in Exhibit A. The student course rating form must be administered in each section of all courses (excluding internships and independent study courses) taught by each faculty member during the year of evaluation. The department may choose to use additional evaluation forms, strategies, and methods to measure teaching effectiveness. The

DFSC shall review teaching effectiveness during all parts of the evaluation year for any instructor before making performance review recommendations.

C. Review of Scholarly and Creative Productivity

A faculty member's effective performance associated with scholarly and creative productivity is an integral part of the mission of the department. The DFSC will consider the quality and significance of the intellectual contributions of each faculty member. Intellectual contributions by faculty are necessary to maintain and improve the quality of instruction. These activities include, but are not limited to, the following examples of professional and scholarly productivity:

1. Book or text containing citations or references indicating significant research effort
2. Book or text, case, supplemental reading and edited books and texts
3. Book chapter not containing citations or references indicating significant research efforts
4. Non-refereed publication
5. Non-refereed presentation
6. Panel member (regional and/or national)
7. Published book reviews
8. Published case
9. Published software
10. Refereed journal article
11. Refereed monograph
12. Revisions of books and texts as well as their supplementary accompanying material
13. Revisions of book and text with citations or references indicating significant research efforts as well as their supplementary accompanying material
14. Recognition of meritorious intellectual contributions by winning an award or achievement citation for scholarly writing/research.
15. State, regional, national or international presentation with or without proceedings
16. Symposia (state, regional, national or international)
17. Funded extramural and/or intramural grant

The Committee shall consider the substance of the research activity of each faculty member, rather than merely the number of publications or other activities. The Committee shall consider the nature of the research, the amount of work involved, whether a publication is co-authored and the facts of the co-authorship, whether the publication is a reworking of other research already claimed, and the vehicle or publication in which the work appeared.

Each faculty member shall provide copies of all published articles to the Chairperson. No publication or acceptance shall be claimed unless the faculty member has provided the committee with either (1) a signed, unconditional (no further revisions) letter of acceptance from the editor of the publication, and a copy of the final manuscript, or (2) a copy of the published article. The DFSC reserves the right to obtain further information about the status of any article from the editor of any publication. No article shall be counted more than one time for the purpose of performance review, either as an acceptance, a published article (refereed or non-refereed), or a conference proceedings. For example, an acceptance counted in one calendar year cannot also be counted as a published article in the next calendar year. Conditional acceptances and oral acceptances will not be counted.

D. Review of Service

Each faculty member in the College of Business is expected to make a meaningful service contribution, including attendance at all scheduled department meetings and events. As part of this faculty responsibility, each faculty member is expected to provide service contributions to the University community, the faculty's individual discipline, and to the citizenry. These service contributions will generally fit into one or more of the following categories: University service (service commitments at the university, college, or departmental level); scholarly service (service in the discipline including but not limited to scholarly review and active involvement in professional academic organizations); professional service (service outside of the university and discipline but strongly related to the faculty member's academic position/specialty) and Community service.

The department is committed to making its professional and scholarly programs, activities, and consultations available to the public by responding to or assisting with community, regional, or state needs or problems. The DFSC will consider the quality and significance of the Professional and Scholarly Service activities of each faculty member. These activities include, but are not limited to, the following examples of professional and scholarly service:

1. Academic Advising
2. Advising a student organization and fulfilling accompanying outreach activities involving employers, alumni, and other constituencies.
3. Attendance at meetings of professional groups representative of the faculty member's discipline
4. Chairperson of a session (state, regional, national or international conference)
5. Committees (Department, College and/or University)
6. Unpaid consulting that furthers the University's mission.
7. Community Service
8. Discussant at a professional meeting
9. Dissertation or thesis reader
10. Member of editorial board of a scholarly journal
11. Program chair (state, regional, national or international conference)
12. Participation in professional organizations as an officer
13. Presentation of a workshop or seminar at national and/or regional meeting
14. Presentation of a workshop locally
15. Professional recognition of special competence
16. Reviewer of journal articles or books
17. Reviewer of papers for state, regional, national, or international meetings
18. Recognition of meritorious service by winning an award or achievement citation for service to the Department, College, University, academic profession, or broader community.
19. Teaching an unpaid overload, which frees departmental resources for other uses.
20. Speech (locally) to a professional group
21. Special appearances on scholarly programs
22. Support of, attendance at, or participation in College of Business activities or programs (i.e., Business Week events, graduation activities)
23. Conducting a research/teaching seminar.

The Committee shall consider the substance of the professional and scholarly service of each faculty member, rather than merely the number of committees or other types of service. The Committee

shall consider the nature of the service and its value to the department, college, university and/or community and the amount of work involved.

The Committee may request verification of service in writing by third parties in appropriate cases.

X. Allocation of Salary Monies.

The guiding philosophy of the Department of Finance, Insurance and Law performance review process is to motivate faculty to achieve goals consistent with the strategic plans of the department. In order to motivate faculty members to reach those goals, the process of setting salary increases is based on the annual DFSC performance reviews taking into account the faculty member's: (1) annual performance; (2) long-term performance; and (3) internal and external equity comparisons. The purpose of the salary-setting process is to move each faculty member fairly and without bias toward a salary consistent with current performance, career performance, and equity considerations.

A. General Procedures

1. Salary increments shall take the form of (1) standard increments payable to all raise-eligible faculty members who receive satisfactory performance ratings; and (2) performance-evaluated increments that recognize equity and annual and long-term contributions made by particular faculty members.
2. Faculty members with unsatisfactory performance (receiving an insufficient performance review) shall receive no incremental raise.
3. Twenty percent (20%) of the Department's allocation shall be distributed as a standard increment, payable as an equal percentage of base salary to all raise-eligible faculty who receive at least minimum satisfactory performance ratings.
4. Eighty percent (80%) of the Department's allocation shall be distributed as performance-evaluated increments to faculty members based on established Department policies for salary adjustments. Performance-evaluated increments shall recognize equity, and annual and long-term contributions made by particular faculty members and shall be payable to raise-eligible faculty members who receive satisfactory performance ratings. Performance-evaluated increments ordinarily will not be distributed equally to all raise-eligible faculty members.

B. Department Procedures

1. Each faculty member shall be assigned a performance-evaluated increment based upon activities completed during the evaluation period but also on long-term faculty contributions.
2. The DFSC shall distribute performance-evaluated increments to all raise-eligible faculty members who receive satisfactory performance ratings. Departmental procedures for DFSC salary increment recommendations shall be as follows.
 - a. The DFSC shall provide to the Chairperson, each faculty member's performance review for the most recently evaluated year, as well as long-term (previous five years) contributions.
 - b. Ratings for long-term contributions are calculated as the five-year average of DFSC annual review ratings prior to the current evaluation year. Given the most recent benchmark

salary data from the AACSB, the DFSC will determine whether the equity component will result in a performance-evaluated increment (and the amount of such increment).

- c. Annual contribution performance reviews should be weighted between 60% and 75% of a faculty member's performance-evaluated increment as determined by the DFSC. Long-term contributions and equity adjustments (both external and internal) will be the basis for the remainder of the performance-evaluated increments. Long-term contributions should be weighted between 10% and 15% of the evaluation of a faculty member's performance-evaluated increment, as determined by the DFSC. Equity adjustments, if any, should be weighted between 15% and 25% of the evaluation of a faculty member's performance-evaluated increment, as determined by the DFSC.
 - d. The Chairperson shall provide to the DFSC members a draft of the proposed process for faculty salary increases and rationale for the proposed increases. All names and ranks identifying individual faculty members with salary information shall be withheld, as will all salary information for DFSC faculty members. Currently available AACSB median salary data by rank shall also be provided. Anonymous faculty member information shall be used to preclude any perceived conflict of interest or question of bias. The DFSC shall review the draft proposed by the Chairperson and shall provide advice and recommendations to the Provost regarding proposed salary increases based on DFSC consensus.
 - e. No salary increment will be allocated to any person(s) receiving an overall annual evaluation rating of "4" or less on a ten-point scale, which indicates unsatisfactory performance. Faculty members earning an overall annual evaluation rating of more than "4" on a ten-point scale will receive performance-evaluated salary increments.
 - f. Based on the recommendations of the DFSC, the Chairperson shall prepare the final report of the salary increments to the Provost. The DFSC shall receive the information in the final report, again with all names and ranks identifying individual faculty members with salary information being withheld, as well as all salary information for DFSC faculty members.
3. Members of the DFSC shall take no part in the discussions, decisions or recommendations regarding their salaries or their performance reviews. The remaining members of the DFSC shall make those decisions or recommendations.
 4. Following the salary increment process, the Department Chairperson shall provide to each faculty member the components of the salary increment process (standard increment, performance-evaluated increment, equity adjustment, promotion increment, other adjustments) and the number of salary increment dollars awarded to each component for the respective faculty member.
 5. Each year, after the salary increment process is complete, the Department Chairperson shall provide to each faculty member the Department's aggregate number of salary increment dollars awarded to each salary increment component including standard increment, performance-evaluated increment, equity adjustment, promotion increment, and any other adjustment.

XI. Faculty Qualifications

- A. Each faculty member shall remain qualified as defined below. If a faculty member is not qualified, he or she (1) may receive only the standard increment under X, above, until he or she becomes qualified; and (2) may not be eligible to teach in the summer session until he or she is again qualified, even if the assignment preference for faculty members intending to retire in four years is in effect. The Chair, in consultation with the DFSC, will recognize short- and long-term contributions made by a faculty member in determining the implications of the loss of qualified status.

- B. "Qualified" means the faculty member satisfies the College of Business requirements for qualification as a Scholarly Academic or a Practice Academic.

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 qualification status. The College, Department, and AACSB recognize new Ph.D.s with an appropriate terminal degree as a Scholarly Academic for five years beginning with the year the Ph.D. is earned.

EXHIBIT A
DEPARTMENT OF FINANCE, INSURANCE AND LAW
COURSE AND INSTRUCTOR EVALUATION FORM

1. Rate the course in general.	A B C D E EXCELLENT (1) (2) (3) (4) (5) VERY POOR
2. Rate the instructor.	A B C D E EXCELLENT (1) (2) (3) (4) (5) VERY POOR
3. The instructor achieved established course objectives.	A B C D E STRONGLY (1) (2) (3) (4) (5) STRONGLY AGREE DISAGREE
4. The instructor was organized in presenting class materials.	A B C D E STRONGLY (1) (2) (3) (4) (5) STRONGLY AGREE DISAGREE
5. The instructor generally treats the students in the class with respect.	A B C D E STRONGLY (1) (2) (3) (4) (5) STRONGLY AGREE DISAGREE
6. The instructor was available to discuss course content outside the classroom.	A B C D E STRONGLY (1) (2) (3) (4) (5) STRONGLY AGREE DISAGREE
7. The instructor made an effort to fulfill classroom responsibilities.	A B C D E STRONGLY (1) (2) (3) (4) (5) STRONGLY AGREE DISAGREE
8. The instructor explained difficult or abstract ideas.	A B C D E STRONGLY (1) (2) (3) (4) (5) STRONGLY AGREE DISAGREE
9. The instructor provided valuable insight into the material.	A B C D E STRONGLY (1) (2) (3) (4) (5) STRONGLY AGREE DISAGREE

<p>10. The instructor appeared to be knowledgeable about the subject matter of the course.</p>	<p style="text-align: center;">A B C D E</p> <p>STRONGLY AGREE (1) (2) (3) (4) (5) STRONGLY DISAGREE</p>
<p>11. The instructor provided the opportunity to ask questions or participate in class discussion.</p>	<p style="text-align: center;">A B C D E</p> <p>STRONGLY AGREE (1) (2) (3) (4) (5) STRONGLY DISAGREE</p>
<p>12. The instructor used meaningful examples and illustrations in class presentations.</p>	<p style="text-align: center;">A B C D E</p> <p>STRONGLY AGREE (1) (2) (3) (4) (5) STRONGLY DISAGREE</p>
<p>13. The instructor expressed ideas clearly and effectively.</p>	<p style="text-align: center;">A B C D E</p> <p>STRONGLY AGREE (1) (2) (3) (4) (5) STRONGLY DISAGREE</p>
<p>14. The assignments made by the instructor helped in learning the course material.</p>	<p style="text-align: center;">A B C D E</p> <p>STRONGLY AGREE (1) (2) (3) (4) (5) STRONGLY DISAGREE</p>
<p>15. The instructor used appropriate and fair methods for determining student grades.</p>	<p style="text-align: center;">A B C D E</p> <p>STRONGLY AGREE (1) (2) (3) (4) (5) STRONGLY DISAGREE</p>
<p>16. The examinations administered by the instructor seemed appropriate for the course.</p>	<p style="text-align: center;">A B C D E</p> <p>STRONGLY AGREE (1) (2) (3) (4) (5) STRONGLY DISAGREE</p>
<p>17. The instructor could field questions effectively.</p>	<p style="text-align: center;">A B C D E</p> <p>STRONGLY AGREE (1) (2) (3) (4) (5) STRONGLY DISAGREE</p>
<p>18. With relation to other instructors I have had, I would rate this instructor in the</p>	<p style="text-align: center;">A B C D E</p> <p>UPPER FIFTH (1) (2) (3) (4) (5) LOWER FIFTH</p>
<p>19. Compared to other courses, I learned</p>	<p style="text-align: center;">A B C D E</p> <p>MORE THAN NORMAL (1) (2) (3) (4) (5) LESS THAN NORMAL</p>

<p>20. Compared to other courses on the same level, how much effort did you put into the class?</p>	<p style="text-align: center;">A B C D E</p> <p>MORE THAN (1) (2) (3) (4) (5) LESS THAN NORMAL NORMAL</p>
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EXHIBIT A (CONTINUED)

Please use this side of the form for your personal comments on teacher effectiveness and other aspects of the course. Your instructor will not see your completed evaluation until final grades are in for your course.

NOTE:

Someone other than your instructor should collect and deliver these forms to the person designated by your department.

PLEASE WRITE COMMENTS BELOW

A What are the major strengths of the instructor?	
B What are the major weaknesses of the instructor?	
C What aspects of this course were most beneficial to you?	
D What do you suggest to improve this course?	
E Instructor option question	
F Instructor option question	
G Instructor option question	

EXHIBIT B-1

SAMPLE BALLOT
(TENURE)

- I recommend that _____
be granted tenure.

- I recommend that _____
NOT be granted tenure.

- I have insufficient information and abstain.

COMMENTS:

I certify that I have reviewed the materials submitted in support of this decision.

Date _____
Faculty Member

EXHIBIT B-2

SAMPLE BALLOT
(PROMOTION)

- I recommend that _____ be promoted
to the rank of _____.

- I recommend that _____ NOT be
promoted to the rank of _____.

- I have insufficient information and abstain.

COMMENTS:

I certify that I have reviewed the materials submitted in support of this decision.

Date _____
Faculty Member

EXHIBIT C

DEPARTMENT OF FINANCE, INSURANCE AND LAW

MATERIALS FOR PROMOTION AND/OR TENURE

The following materials are the responsibility of the candidate. Candidates should review and approve these materials for factual accuracy before it is forwarded to the FIL DFSC, COB CFSC and the Provost.

The Tenure/Promotion Cover Sheet, including signature page

A letter of application, including at a minimum:

- i. Current rank
- ii. Illinois State University appointment dates and date of last promotion, if any;
- iii. A request for consideration for tenure and/or promotion; and
- iv. An explanation of and justification for any request for early tenure.

Vita: A listing of information about the candidate, the candidate's accomplishments in scholarship, and the candidate's activities and accomplishments in the areas of his/her responsibilities. A full vita includes the applicant's summative record of productivity, including at a minimum:

- i. A reverse chronology of all institutions of higher education attended beginning with the last institution, including all degrees, certificates and awards presented;
- ii. A reverse chronological employment history, beginning with the current position;
- iii. The applicant's record of teaching, including the list of courses taught;
- iv. A reverse chronological list of all scholarly contributions. The list may be subdivided into different classifications of contributions (e.g., books, refereed/juried publications, non-refereed publications, etc. as is the custom in the applicant's discipline); and
- v. A reverse chronological list of all university and professional service.

Portfolio Summary: Material in this section is a summary of the supporting material included in a separate faculty portfolio. The portfolio summary should provide a clear understanding of the candidate's accomplishments within and commitment to the scholarship of teaching and learning, the scholarship of discovery, and his/her areas of faculty responsibility.

Candidate's Statement(s): An overall statement of the candidate's accomplishments in scholarship as they relate to teaching, research, and professional/institutional service. The following should, in all cases, be included:

- Teaching philosophy statement and future agenda in instructional professional development;
- In tabular form beginning with most recent, teaching evaluation data over at least the last five evaluation years for the average student response to Question #2 ("Rate the instructor") and Question #5 ("Did the instructor treat the students in the class with respect?"), weighted by the number of students in each section. Comparative department norms may also be included.
- Statement of research accomplishments/impact and future agenda in the scholarship of discovery. (This is the candidate's opportunity to provide interpretation of the role s/he

played in research as listed on the vita. The statement allows the candidate to make the case for his/her contributions.); and

- A summary of instances of and responsibilities in professional practice and institutional service since the date of the most recent approved appointment or promotion and tenure action.

Faculty Portfolio Materials Supporting the Faculty Member Responsibilities and Activities: Materials in this collection provide an opportunity for the candidate to present more than a summary statement. This material will be utilized by the department and college in their reviews. These materials may be forwarded to the Provost, if requested. The faculty portfolio includes important and supplemental materials that provide a clear understanding of the candidate's accomplishments within scholarship and his or her areas of faculty activities. It should include representative scholarly materials that have been validated by peers. The section also includes material that documents peer recognition and impact of the candidate's scholarly accomplishments such as professional reviews, citation counts, use of scholarship by peers, and awards.

A. Teaching. Evidence could include:

- Peer evaluations (based on classroom observations and a review of teaching materials);
- Teaching research (if applicable);
- Narrative and evaluation of any involvement by the candidate in the development of new courses and/or the development of new teaching materials;
- Contributions to professional societies concerned with pedagogy and learning;
- Use of creative teaching techniques;
- Creation of intellectual case studies and textbooks;
- Representative teaching materials and forms of assessment;
- Direct evidence of student learning;
- Course syllabi; and
- Detailed student evaluation responses.

B. Research Activity for Period of Review. Evidence could include:

- Summaries of completed, current and future research projects and programs;
- Summaries of grants and contracts applied for and disposition including summaries of current and potential future grant work;
- Publications (Types/quality of publications, role as author, significance of findings, citation frequency);
- Papers presented at regional, national, or international meetings/conferences (candidate is assumed to be presenter unless otherwise indicated);
- Honors and awards for candidate's research scholarship;
- Refereeing, editing, and reviewing for publications and professional organizations. (List number of times asked to review proposals or manuscripts and for what publications and organizations.);
- Copies of all research and teaching publications;
- Copies of papers under review including letters from editors; and
- Copies of working papers.

C. Professional Practice and Institutional Service. These activities may be local, statewide, regional, national or international in scope, and should be designated accordingly. Evidence could include:

- Conducting workshops and organizing conferences;
- Consulting;
- Participating in activities that involve professional expertise for appropriate professional associations;
- Public service related to the candidate's academic expertise;
- Presenting in executive development programs;
- Serving as editor or editorial board member for journals;
- Serving as a referee for journals or conferences;
- Participating in professional meetings as chairperson, moderator, panel member or discussant;
- Committee work at department, college, and university levels;
- Positions held on regional, national, and international panels or committees and in regional, national, and international professional organizations
- Public service; presentations, readings, panel participation at the local level
- Honors and awards for candidate's service