

FACULTY PERSONNEL POLICY

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UNIVERSITY OF
ILLINOIS

SPRINGFIELD

UNIVERSITY OF ILLINOIS AT SPRINGFIELD

FACULTY PERSONNEL POLICY

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ARTICLE 1
PERSONNEL FILES

Section 1. Personnel Files

The University and Campus Administration may maintain any files necessary for effective administration. There shall also be established a Personnel File for each faculty member that shall contain documents regarding the member's employment status (excluding pre-employment material) and work performance. All official personnel records relating to any faculty member shall be kept in her/his official Personnel File, and no other personnel file shall be utilized in reaching decisions on promotion, tenure, salary, and retention, except portfolios assembled by the faculty member for such personnel decisions.

All personnel records shall be in writing. All materials in the Personnel File shall be recorded on a register of documents contained in the file. Once materials are placed in the Personnel File, no one shall intentionally mark, edit, destroy, or obliterate such original materials except as provided in this Article.

Section 2. Review of Material for Inclusion in a Personnel File

The Vice Chancellor for Academic Affairs or her/his designee shall review all documents considered or requested for inclusion in a faculty member's Personnel File and shall make the final decision on such inclusion. Items or documents to be considered for inclusion in the file consist of, but shall not be limited to, the following: summaries of course evaluations; recommendations and performance assessments from Personnel Committees, appropriate administrators, colleagues, students and others; reports on workload, including non-instructional assignment reports; copies of appropriate professional commendations or awards; records related to disciplinary actions; decisions received as a result of grievance procedures; or routine personnel records. No anonymous materials or documents will be added to the files.

Section 3. Location and Custodian of the Personnel Files

The location of the Personnel Files and the custodian for such files shall be determined by the Campus Administration. Should the location or custodian be changed, faculty members shall be informed by the Campus Administration of such change.

Section 4. Examination of Personnel Files

A faculty member's Personnel File shall be available for examination by her/him and the University or its agents charged with reviewing the file under the terms of this Policy for evaluation or other Campus personnel actions or official business, including grievances and litigation between the faculty member and the University. Persons outside the University shall not have access to Personnel Files except as otherwise provided in this Article unless a written release from the employee in question is

obtained. Each faculty member shall have access to her/his own personnel file during normal working hours upon request in advance. With the approval of the Vice Chancellor for Academic Affairs, a faculty member will be furnished copies of any documents in her/his file without charge. Other copies desired by the faculty member will be provided upon payment of the cost of photocopying.

Section 5. Sources of Information

All documents submitted by sources other than the faculty member must be signed by the person or persons sending such documents. This policy also applies to e-mail correspondence. Summary evaluations of classroom teaching are exempted from this provision.

Section 6. Recorded Log

The custodian of faculty Personnel Files shall maintain an official record of all persons who view the contents of the faculty member's Personnel (including supplemental) Files. The following information about the reader of each file shall be recorded on a log of readers to be kept in each employee's file:

- A. the name and position of the reader;
- B. the date that the reader received and returned the file;
- C. the purpose for which the file was read; and
- D. the signature of the reader.

Section 7. Rebuttal of Documents/Request for Deletion from Official Files

A faculty member may attach a written response or rebuttal to a document or request the deletion from the file of a document which violates any provision of this Policy. Any request for deletion shall be directed to the Vice Chancellor for Academic Affairs in writing with copies to the source of such document. The request for deletion of a document shall also include a written statement by the faculty member identifying the statements she/he believes should be deleted and the facts and reasons supporting such deletion. The Vice Chancellor for Academic Affairs shall make a decision on this request within seven (7) working days of receipt of the request.

Section 8. Portfolio

A faculty member should create and submit a "portfolio" in connection with a specific personnel decision. This portfolio may include originals or copies of books, articles, correspondence, photographs, documents or the like, but shall not include works of art, inventions or other items which the faculty member wishes to retain. The faculty member shall provide a log of all its contents, which will constitute an official record, to the file custodian. At the option of the Campus, portfolios may be retained until a final personnel decision has been made or until all appeals of such decisions have been made to internal or external review agents. All portfolios will be returned to the faculty member following that decision.

Section 9. Notification

No communication that might reflect negatively upon a faculty member will be placed in her/his official Personnel File without notification to the faculty member.

ARTICLE 2
UNIFORM PERSONNEL COMMITTEE
OPERATING AND ELECTION PROCEDURES

Section 1. Operating Procedures

The operating procedures presented below are to guide the development of all personnel recommendations by all Department or other equivalent unit (hereinafter referred to as Department), College, and Campus level Personnel Committees, with the exception of the Campus Sabbatical and Awards Committee in its deliberations on sabbatical leaves and campus level awards. The personnel committees provided for in this Policy are advisory committees without authority to bind the Campus. All reviews shall occur according to the Campus Academic Personnel Calendar prepared by the Campus Administration in consultation with the Chair of the Campus Senate. The Campus Academic Personnel Calendar shall be distributed to all faculty members between April 1 and May 1 of the preceding academic year.

- A. All Committee deliberations relating to a faculty member's performance shall be based solely upon applicable criteria set forth in this Policy and documentation contained in the Personnel File and/or Portfolio. In all personnel matters, with the exception of sabbaticals, merit and campus level awards, personnel committee members must read the candidate's Personnel File.
- B. Membership on Department or College Personnel Committees is limited to tenured or tenure track faculty unless Department or College by-laws explicitly grant membership rights to specific categories of non-tenure track faculty. The Campus Ombudsperson and full-time administrators who hold faculty rank, including acting and interim, are not eligible to serve on personnel committees. Deliberations and voting by all personnel committee members shall be conducted only when a majority of all voting members of the Committee is present. For purposes of majority, faculty members who are on leaves of absence or sabbatical and are not present for the complete deliberation and voting during the semester in which the review takes place, are not considered voting members of the committee. Candidates for reappointment, promotion, or tenure shall not deliberate and/or vote on their own cases. Spouses, domestic partners, household or family members of candidates for reappointment, promotion or tenure shall not deliberate and/or vote on the case of their spouse, partner, household or family member. A committee member who serves on more than one personnel committee must recuse her/himself from discussion and voting on the case either at the Department Personnel Committee level or at the higher level of review (College Level

Personnel Committee, Tenure Review Committee, or Campus Promotions Committee) to ensure that they deliberate and vote on each candidate only once. If a committee fails to act within the time-frame or deadline established by the Campus Academic Personnel Calendar, the Committee's right to consider the case(s) is waived to the next level. Non-tenured faculty members who resign, are not reappointed or are denied tenure shall not serve on personnel committees or participate in personnel processes. All discussion and documentation considered in the personnel process shall be held in strict confidence. Confidentiality does not prevent a personnel committee from clarifying its recommendation at the request of the candidate.

- C. In order to vote on a candidate's case, a committee member must have read the candidate's personnel file and must have participated in the entire substantive discussion of the case. The circumstances under which a committee member may not deliberate and/or vote on the case are as follows: 1) Disqualification due to absence, wherein the member has not been present for the full discussion of the case, and is therefore prohibited from participating in the vote; 2) Recusal, wherein the member believes s/he cannot adequately, appropriately, or fairly consider the case at hand, or is otherwise required by policy to not participate in the case and therefore recuses her/himself from the process of deliberation and voting; 3) Abstention, wherein a committee member who participates in the deliberations chooses not to cast a vote. A committee member should inform the committee chair if s/he falls within either of the first two categories above.
- D. All votes taken shall be by secret ballot.
- E. The Committee recommendation shall be based upon a majority of the votes cast by members who are present and eligible to vote. In addition to providing the majority recommendation, the memo shall reflect the rationale for all of the votes cast.
- F. Committee recommendations shall be set forth in writing and signed by the chairperson of the Committee. This written recommendation shall include a discussion of the application of the criteria to the candidate's performance based on the materials in the personnel file. It shall also include a listing of all committee members present at the time of the vote, a record of the number of positive votes, negative votes, and the number of abstentions the faculty member received in the Committee's final vote in regard to the personnel recommendation. Any use by a Committee of data prepared by the Campus such as Department, College, or campus teaching averages shall be documented in the committee's letter of recommendation.
- G. Any procedures used by the Committees in addition to the procedures in this Article, must be adopted in writing each year and placed on file with the Campus Senate Office and the

Vice Chancellor for Academic Affairs before deliberations begin and then cannot be changed after the deliberations have commenced.

- H. Those committees which make final recommendations must notify the Campus Faculty of those faculty members recommended for promotion, tenure, and sabbaticals, by the date specified in the Academic Personnel Calendar. The Chancellor shall notify the Campus of those faculty members recommended for tenure, promotion, and sabbatical. The Vice Chancellor for Academic Affairs shall notify the Campus community of the faculty members who are reappointed.
- I. All negative personnel decisions by the Campus shall be communicated in writing to the faculty member's residence by certified mail, return receipt requested.

Section 2. Consultation

In the event the Vice Chancellor for Academic Affairs disagrees with the recommendations made by the Campus level committees which recommend to the VCAA, and prior to the VCAA submitting her/his recommendation to the chancellor, the VCAA shall meet with the appropriate Committee to discuss and review their differences.

Section 3. Election Procedures

Under Article 5 (Reappointment), Article 6 (Promotion), Article 7 (Tenure), and Article 8 (Sabbatical Leave and Awards) personnel decisions which require review by various levels of committees and administration are provided for. The composition of each of the personnel committees and the procedures to be used in the election of faculty members and students to the different committees-- Department Personnel Committees (DPC), College Level Personnel Committees (CLPC), the Campus Promotions Committee (CPC), the Tenure Review Committee (TRC), and the Campus Sabbatical and Awards Committee (CSAC)--are as follows:

A. Committee Composition

1. **Department Committees.** Each Department or equivalent unit shall establish a Department Personnel Committee (DPC) subject to the provisions of Article 2, section 1B. Department bylaws shall specify the composition of that committee and privileges of its members. In the absence of clear bylaws, or if the Department consists of five or fewer faculty, the tenure-system faculty shall constitute the DPC.
2. **College Personnel Committees.** The College Level Personnel Committee (CLPC) shall be elected in accordance with the by laws of the College consistent with Article 2, Section 3(B) below.

3. **The Campus Promotions Committee.** The Campus Promotions Committee (CPC) will consist of six (6) tenured faculty members, with one (1) elected by each College and two (2) elected at large, for staggered three (3) year terms. No more than one (1) faculty member may be from the same department.
4. **The Tenure Review Committee.** The Tenure Review Committee (TRC) shall consist of seven (7) tenured faculty members elected at large by campus-wide vote of faculty members for staggered three (3) year terms. No more than two (2) faculty members may be from the same College. No more than one (1) faculty member may be from the same department.
5. **The Campus Sabbatical and Awards Committee**

The Campus Sabbatical and Awards Committee (CSAC) shall be established to review and evaluate sabbatical proposals and campus level award nominations. The CSAC shall consist of one (1) tenured faculty member elected from each College, one (1) student elected by the Student Government Association (SGA), and the Vice Chancellor for Academic Affairs as an ex-officio, non-voting member. The faculty members will serve staggered two (2) year terms and the student will serve a one (1) year term.
6. **The Post Tenure Review Committee.** A pool of faculty shall be established as potential members of Post Tenure Review Committees. The Vice Chancellor for Academic Affairs and the Chair of the Campus Senate shall appoint for a term of two years a pool of tenured faculty as potential members of Post Tenure Review Committees.
7. Faculty may not serve on both College Level Personnel Committee (CLPC) and the Tenure Review Committee (TRC) or Campus Promotions Committee (CPC) at the same time.

B. Nomination and Election Procedures

Each College Dean has responsibility for overseeing the nomination and conducting the election processes for the respective College level committee elections. The Vice Chancellor for Academic Affairs will oversee the nomination process and conduct the election for Campus Personnel Committees. All elections will be conducted in accordance with the Campus Academic Personnel Calendar.

Procedures for the election of faculty members to College level personnel committees shall be as follows:

1. Nomination Procedures.

- a. The appropriate Dean will solicit nominations in writing from the faculty voting electorate within the College, her/his willingness to serve on College Level Personnel Committees, The Dean shall check with each faculty nominated to ensure that she/he is willing to serve.
- b. The VCAA will solicit nominations in writing for service on Campus Personnel Committees, including the Tenure Review Committee, Campus Promotions Committee, and the Campus Sabbatical and Awards Committee. The VCAA shall check with each faculty nominated to ensure that she/he is willing to serve. Once the established deadline for submission of names is reached, the VCAA and the Campus Senate Chair or her/his designee shall screen the names of those willing to serve on the Campus Level Personnel committees before the release of the ballot to ensure that all limitations for committee service are satisfied. (For example, election to the TRC is only possible for tenured faculty members.)

2. College Level Personnel Committee Elections. Those faculty members who intend to apply for consideration for promotion in rank, tenure or reappointment are not eligible to serve on a Personnel Committee during the academic year in which they intend to apply. In accordance with University of Illinois Statutes, Article II, Section 3, voting on Personnel Committee membership is limited to tenured or tenure track faculty unless College by-laws grant voting privileges to other specified faculty.

In addition to College by-laws addressing the election of College Level Personnel Committees, the following procedures shall apply.

Whether conducted by paper or electronically, the names of those willing to serve on the CLPC will be positioned on a ballot in alphabetical order. The ballot will be distributed within the College in a manner that ensures that the vote can be authenticated and the voter's name kept anonymous.

The votes shall be verified by the Dean and a Senator from the College, or a substitute Senator designated by the Chair of the Campus Senate if a College Senator is unavailable. The CLPC shall consist of at least five (5) faculty. In addition, when the CLPC takes up the case of non-tenure track faculty Colleges may elect an additional special representative non-tenure track faculty to review, deliberate, and vote on those cases only. College by-laws may allocate representation by department or other sub-groups across the College. Taking into account College by-laws provisions specifying representation across sub-groups, the persons receiving the highest number of votes

shall be elected to the CLPC, provided that no more than one (1) person from a given Department or equivalent unit may serve. All ties in voting will be resolved by chance where the winner is selected by a drawing in the presence of the designated Senator and where the nominees tied in votes have been notified and may attend the drawing, if they so desire.

Following the faculty elections, the Dean shall forward a list of names to the VCAA of all members of the CLPC.

- 3. Campus Level Committee Elections.** The Vice Chancellor for Academic Affairs has responsibility for overseeing the nomination and conducting the election processes for the Campus level committees. All elections will be conducted in accordance with the Campus Academic Personnel Calendar. The voting electorate for Campus Level Committee membership is limited to tenured or tenure track faculty. Whether conducted by paper or electronically, the ballots will be distributed in a manner that ensures that the vote can be authenticated and the voter's name kept anonymous. Once the list of faculty members willing to serve on the three campus level committees is received by the Vice Chancellor for Academic Affairs, electronic or paper ballots will be prepared.

The election of members to each of the three campus level committees will be conducted on the same master ballot. The ballot will identify the committee for which the election is being conducted, the candidates for each committee and the number of years (term) for which the persons being elected will serve. Provision for write-in candidates will also be provided for each committee listed on the ballot. In the case of the TRC, the seven (7) faculty members receiving the most votes, individually, will be those elected to serve, provided, however, that no more than two (2) are elected from each College. Similarly, for the CPC, the four (4) faculty members receiving the most votes in their respective Colleges and the two (2) receiving the most at large votes will be elected to serve.

The CSAC membership will be determined by taking the four (4) faculty members receiving the most votes in their respective Colleges.

Once all elections are completed, and those chosen to serve identified, the Campus Senate Chair or her/his designee shall review the tabulated election results. The VCAA will then notify the campus in writing of the new committee membership. The notification will specify that the election was administered under the terms and provisions of this Policy.

- a. **Filling Vacancies.** From time to time, personnel committee members may resign their positions on the committee before their specified term of service ends.

If the vacancy occurs more than three weeks prior to the date on which the committee will commence its work according to the Academic Personnel Calendar, a special election will be held to select a replacement. All notices and ballots will specify the committee for which the nominations are sought or elections conducted, the position which is being filled, e.g., an at large position or one to be filled by a representative of a particular College, and the time remaining to be served on the committee by the member being nominated and elected.

- b. **Filling Vacancies – Special Circumstances.** Should the vacancy be created more than three working days but less than three weeks prior to the date on which the committee will commence its work according to the Academic Personnel Calendar, or if the vacancy exists during the summer and the committee is called upon to take official action during that time, the Senate Executive Committee in consultation with the Provost shall identify two eligible faculty, each of whom agrees to serve on the committee until the following academic year if selected. The replacement shall be chosen by lot from the two selected names. No replacement shall take place if the vacancy arises less than three working days prior to the date on which the committee will commence its work according to the Academic Personnel Calendar.

Notice of the vacancy must be sent by the Vice Chancellor for Academic Affairs to all tenured and tenure track faculty members, and shall include information as to whether or not the election will be held in accordance with the policies in this Section. The faculty member appointed must qualify for the position being filled. Once appointed, Vice Chancellor for Academic Affairs shall inform the faculty in writing of the appointment.

ARTICLE 3

PROFESSIONAL EVALUATION AND ADVANCEMENT

Section 1. General Statement

Faculty seeking reappointment, promotion, tenure, or salary adjustment will be evaluated according to the performance of professional responsibilities within criteria described in this Policy as they are appropriate to the faculty member's discipline, specific role, and work assignment. In addition, the *AAUP Statement of Professional Ethics* notes that "as colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution." (see Article 9 and Appendix 2 for more discussion and the complete *AAUP Statement of Professional Ethics*)

It is the responsibility of the faculty member to document her/his achievements in teaching, scholarship and service that reflects the distribution of her/his work load. The functions and responsibilities within each of the primary criteria described in Section 2 below are not mutually exclusive, but may overlap. Faculty should not normally use activities to meet more than one of the criteria. If activities are applied to more than one criterion, the weight of these activities is diminished.

Within the context of the following evaluative performance criteria, evaluators will be looking for a pattern of professional growth and development which may be demonstrated in a variety of ways. The ongoing development of faculty is a concern at any institution of higher learning, but is particularly important to an institution like the University of Illinois at Springfield, where specific missions and mandates require broad definitions of professional development and scholarship. Faculty who are not on tenure track will be evaluated on standards and criteria that are appropriate to their appointments and may not be the same as that of tenured and tenure-track faculty. Criteria for faculty who are not on tenure track shall incorporate activities that are necessary for these faculty to maintain currency in their field. Expectations for faculty who are not on tenure track will be established through consultation between the Dean and Department Chair.

Standards of performance as specified in the reappointment, tenure, promotion, and annual performance review articles of this Policy shall be required of faculty members. In addition to other information contained in the Personnel File and/or Portfolio, the annual performance review shall be used by the Campus to make decisions about reappointment, promotion, tenure, merit rating and campus level awards. Teaching is the primary and central criterion for all instructional faculty.

Section 2. Criteria for Tenured and Tenure-track Faculty

A. Teaching, Advising, and Enhancing Teaching and Learning

Because “teaching remains the central function and excellence in teaching continues as the overriding goal” at the University of Illinois at Springfield (Vision Statement), those activities related to the academic development of students have the highest priority in the evaluation of faculty. Advising and/or mentoring of students is a critical component of faculty duties, and advising activities and outcomes are an important consideration in the evaluation of faculty. As such, faculty shall be prepared to demonstrate that they are actively and effectively engaging in academic advising of students on an ongoing and consistent basis.

Teaching and advising will be assessed through a variety of means. Any quantitative assessments of teaching and advising should be evaluated in the context of qualitative measures such as documented comments by students and colleagues, reports on activities, course syllabi, and other relevant materials. Contributions to the enhancement of teaching and learning will be assessed by the former means as well as other relevant documentation. See Appendix 10, UIS Portfolio Guidelines for more details.

B. Scholarship

The Carnegie Foundation Report, *SCHOLARSHIP RECONSIDERED*, argues that universities need to enlarge the perspective on scholarship to reflect the realities in higher education. The report divides scholarship into four categories: **discovery**, **integration**, **application**, and the scholarship of **teaching**. The Carnegie categories provide a suitable framework for assessing scholarship in the context of a primarily teaching and public affairs institution.

Discovery has been the heart of the narrower definition of scholarship: original intellectual work such as basic research; or creative contributions such as artistic accomplishments. Discovery is important, but so are other forms of scholarship. **Integration**, which is often inter- or multi-disciplinary, gives meaning to isolated facts and puts them into a broader perspective, making connections among and across disciplines and educating those who are not disciplinary specialists. **Application** is inquiry into the connection between theory and practice, and is commonly called applied research. Finally, the scholarship of **teaching** requires constant intellectual engagement in learning in the substantive areas of one’s teaching and in the processes and methods of teaching as a profession.

Assessment of performance in the four categories of scholarship shall include judgments of the quality of the work as documented in the file. See Appendix 10, UIS Portfolio Guidelines for more details.

C. Service

Service involves the application of a faculty member's academic and professional skills and knowledge to the completion of tasks that benefit or support individuals and/or groups in the Campus, the University, professional associations, or external communities at the local, state, regional, national, or international levels. See Appendix 10, UIS Portfolio Guidelines for more details.

Assessment of service, like teaching and scholarship, shall not be reduced solely to quantitative measures, but must include qualitative judgments.

Section 3. Criteria for Non Tenure-track Faculty

Non-tenure track faculty in general are not evaluated on all three criteria on which tenure-track faculty are evaluated: teaching, scholarship, and service. The specific criteria (teaching, scholarship and/or service) on which a non tenure-track faculty member on an academic year appointment (i.e., clinical, research, lecturers, instructors, and visiting) will be evaluated and the standards that will be applied to the criterion (i.e., high quality, excellence) will be established at the time of hire and/or contract renewal in writing.

ARTICLE 4
ANNUAL PERFORMANCE REVIEWS

Each college shall conduct an annual review of the performance of each faculty member. The performance review incorporates the assumption that, consistent with the criteria for professional evaluation and assessment (Article 3), each faculty member will undertake responsibilities in teaching, scholarship, and service appropriate to that faculty member's discipline, specific role, and work assignment. Those faculty with ranks of full, associate, or assistant who are tenured or tenure-track, as well as non tenure-track faculty on academic year appointments, will submit an annual performance report per the Academic Calendar to their department and/or Dean and personnel file. The report should reflect activities demonstrating a continuing pattern of professional growth and development for the faculty member. Colleges shall develop a process for annual performance reviews and guidelines for the report. The processes and guidelines shall be reviewed by the Campus Personnel Policies Committee in consultation with the Vice Chancellor for Academic Affairs every five to seven years to assure that they are clear and in accordance with the UIS Faculty Personnel Policy. Pursuant to Article 1, all recommendations will be placed in the faculty member's file. As indicated in Article 3, Section 1, the annual performance review shall be used by the Campus to make decisions about reappointment, promotion, tenure, merit rating and campus level awards.

If a faculty member objects to a Dean's overall decision of no merit, s/he may appeal that decision by submitting a letter of appeal to the Provost, with a copy to the candidate's personnel file, within five (5) working days of receipt of the decision. The letter should include specific areas of disagreement with the decision, any reasoning or evidence supporting such disagreement, as well as any claim of procedural error or discrimination. The Provost shall review the candidate's personnel file and all prior recommendations for the review period, and shall issue a written decision on the appeal to the candidate, with copies to the Dean and the personnel file, within ten (10) working days of receipt of the appeal.

ARTICLE 5
REAPPOINTMENT OF TENURE-TRACK FACULTY

Section 1. Scope

All tenure-track faculty members will be reviewed for reappointment biannually during their probationary period. Departments are encouraged, but not required, to provide feedback on a candidate's performance on an informal basis prior to the personnel review provided for in this Article.

Section 2. Standards

Persons considered for reappointment must document and demonstrate a record of effective performance and accomplishment, according to the criteria for teaching, scholarship and service provided for in Article 3 of this Policy. A record of service and scholarship prior to coming to UIS may be considered as part of a holistic evaluation of the candidate's record. This record must indicate significant progress toward becoming a high quality faculty member.

Section 3. Procedures for Reappointment Review

- A. Recommendation for reappointment of a faculty member begins with the Department or equivalent unit in which she/he is principally assigned. In the case of joint appointments, the recommendation begins with each of the units to which the faculty member is appointed.
- B. A faculty member being reviewed for reappointment must submit an application narrative and portfolio which documents the extent to which her/his professional activities meet the standards for reappointment since the last reappointment review, if there was a previous one, and which includes a current resume, and a summary and analysis of student evaluations of teaching. The application narrative and portfolio shall be submitted to the Personnel File, with a copy of the application narrative submitted to the Department Personnel Committee Chair or equivalent unit head and the Dean at the beginning of the semester in which the review is to be conducted and in accordance with the Campus Academic Personnel Calendar. The Narrative document may not be altered or replaced once it is submitted. After that time, any substantive clarifications, explanations, or changes that the candidate wishes to make to information contained in the Narrative must be submitted separately to the candidate's Personnel File in the form of a memo. Failure to submit an application narrative and portfolio to the Personnel File and an application narrative to the Department Personnel Committee Chair by the date specified in the personnel calendar constitutes a waiver of the right to apply for reappointment.

- C. Each Department or equivalent unit shall establish itself as a Personnel Committee according to the procedures provided for in Article 2 of this Policy for the purpose of reviewing the performance of faculty members and making personnel recommendations.
- D. Following its review, the Department shall submit to its Dean a written assessment of the strengths, weaknesses, and continuing need for the faculty member being reviewed with a copy to the faculty member and her/his Personnel File. The assessment shall include a recommendation for reappointment or nonreappointment.
- E. The faculty member may submit comments to the Dean relative to the Department's recommendation in writing within five (5) working days of receipt of the Department's recommendation, with a copy to the Personnel File. These comments should include any areas of disagreement with the Department's recommendation and any claim of procedural error or discrimination.
- F. The Dean shall refer the review of the candidate's performance to the College Level Personnel Committee (CLPC). The Dean shall convene the CLPC but shall not be present or participate in the substantive deliberation of candidates under review.
- G. The CLPC shall review the Department level recommendations and the Personnel File of each faculty member being considered for reappointment and formulate a recommendation for reappointment or nonreappointment. The CLPC's report and recommendation on each faculty member shall contain a written assessment of the strengths, weaknesses, and continuing need for the faculty member being reviewed and shall be forwarded to the Dean with copies to the faculty member being considered, the Department Chair, and the Personnel File. The faculty member may submit comments to the Dean relative to the CLPC's recommendations in writing within five (5) working days of receipt of the CLPC's recommendation, with a copy to the Personnel File. These comments should indicate areas of disagreement with the CLPC's recommendation and any claim of procedural error or discrimination.
- H. The Dean shall review the report and recommendation of the CLPC, the comments submitted by the faculty member and the Personnel File and formulate a recommendation for reappointment or nonreappointment. Before reaching a final recommendation, the Dean may meet with the CLPC to discuss the case. The Dean's final recommendation shall include a written assessment of the strengths and weaknesses, and continuing need for the faculty member being reviewed and shall be forwarded to the Vice Chancellor for Academic Affairs with a copy to the faculty member, the Department Chair, and the Personnel File.

- I. The faculty member may submit comments concerning the Dean's recommendation to the Vice Chancellor for Academic Affairs in writing within five (5) working days of the receipt of the Dean's recommendation, with a copy to the Dean, and should specify the areas of disagreement with the Dean's recommendation and any claim of procedural error or discrimination.
- J. The Vice Chancellor for Academic Affairs will review the Dean's recommendation, the faculty member's comments and the Personnel File, then formulate a decision for reappointment or nonreappointment based upon criteria of professional performance and need as provided in this Policy. The Vice Chancellor for Academic Affairs shall notify the candidate in writing of her/his decision and the reasons, which must include an assessment of the strengths and weaknesses and continuing need for the faculty member being reviewed, with a copy to the Dean, the chair of the CLPC, the Department Chair, and the Personnel File.

Section 4. Notice of Nonreappointment

If a faculty member's probationary appointment will not be renewed, written notice with reasons will be given to the faculty member by the Campus by May 1 of the year in which the review is undertaken. A terminal year contract will be offered upon notice of nonreappointment. Faculty on terminal year contracts may not serve on campus governance or institutional committees.

ARTICLE 6 PROMOTION

Section 1. General Statement

Faculty seeking promotion will be evaluated according to their performance of professional responsibilities at the Campus with an emphasis on performance since the last promotion, utilizing the criteria of professional performance as provided in this Policy as specified for tenure track or non-tenure track faculty. A record of service, scholarship, and/or teaching prior to coming to UIS may be considered as part of a holistic evaluation of the candidate's record. Promotion applications will be made according to the Campus Academic Personnel Calendar. Promotions may take place only within the track of the appointment. For example, Clinical Assistant Professors can be promoted to Clinical Associate Professors, and Assistant Professors can be promoted to Associate Professors, but Clinical Assistant Professors can not be promoted to Associate Professors, and Assistant Professors can not be promoted to Clinical Associate Professors.

Section 2. Eligibility and Consideration for Promotion to Associate Professor

To be eligible for promotion to the rank of Associate Professor, a candidate must have an earned doctorate in an appropriate discipline except as provided in Article 10, Appointment, Section 4.A. A faculty member will have served at least three (3) years as an Assistant Professor at the University before being awarded the rank of Associate Professor. However, promotion from Assistant Professor to Associate Professor may not precede the awarding of tenure.

For promotion to this rank, the candidate must, as defined in Article 3, demonstrate and document a clear record of excellence in teaching at the University of Illinois Springfield. S/he must also document and demonstrate a record of at least high quality in either scholarship or service, with performance in the other category being, at a minimum, satisfactory.

Faculty may follow different patterns of professional growth and development in achieving high quality in the combined categories of scholarship and service. Some will divide their non-teaching activities relatively equally, demonstrating high quality in the balance in the context of an institution where teaching is primary. Others will choose to focus their energies in one of the categories, reaching high quality performance in one, and satisfactory performance in the other.

Section 3. Eligibility and Consideration for Promotion to Professor

To be eligible for promotion to the rank of professor a candidate must have an earned doctorate in an appropriate discipline except as provided in Article 10, Appointment, Section 4.A. A faculty member will have served at least six (6) years as an Associate Professor at the University or at a comparable institution and have completed two (2) years of full-time continuous service at the University in the rank

of Associate Professor before being awarded the rank of professor. The candidate must, as defined in Article 3, demonstrate and document a clear record of excellence in teaching, at the University of Illinois Springfield. S/he must also document and demonstrate a record of excellence in either scholarship or service, with performance in the other category being, at a minimum, high quality. Promotion from Associate Professor to Professor may not precede the award of tenure. Applications for promotion must be made according to the Campus Academic Personnel Calendar. The Narrative document may not be altered or replaced once it is submitted. After that time, any substantive clarifications, explanations, or changes that the candidate wishes to make to information contained in the Narrative must be submitted separately to the candidate's Personnel File in the form of a memo.

Failure to submit an application narrative and portfolio to the Personnel File and an application narrative to the Department Personnel Committee Chair by the date specified in the personnel calendar constitutes a waiver of the right to apply for promotion during that academic year.

To meet the scholarship standards expected of a full professor, the candidate must demonstrate an overall record of continuing engagement and growth in scholarship activity since achieving tenure. Such activity may reflect different patterns of professional growth and development over time. Areas of scholarship may include any of the scholarly products recognized by the discipline in the areas of discovery, integration, application, and teaching, as detailed in the Carnegie Foundation Report Scholarship Reconsidered, also known as the Boyer Model.

To meet the standards of high quality service, the candidate must demonstrate contributions to the university, her or his discipline, and the external community. Candidates for full professor may follow different patterns of professional growth and development in meeting high quality service in the balance of activity.

Section 4. Review and Assessment Process

- A. Candidates for promotion consideration have the burden of proof and documentation. Each candidate shall be responsible for the preparation of a Portfolio for promotion that documents eligibility and satisfaction of the criteria for the rank sought as specified in this Policy.
- B. The Portfolio and the candidate's Personnel File shall be reviewed by the Department to which the candidate is principally assigned. Candidates for promotion must be evaluated according to the criteria of professional performance as specified in this Policy. Following the review, the Department shall transmit a written recommendation to promote or not to promote to the dean with a copy to the candidate, and the candidate's Personnel File. The recommendation shall include a description and assessment of the strengths and weaknesses of the candidate's performance in relation to the criteria for promotion.

- C. If the faculty member wishes to submit comments to the Dean relative to the Department's recommendation, she/he must do so in writing within five (5) working days of receipt of the Department's recommendation with a copy to the candidate's Personnel File. The comments should address the areas of disagreement the candidate has with the recommendation as well as other matters of concern, including any allegation of procedural error or discrimination.
- D. The Dean shall refer the Department recommendation to the CLPC. The Dean shall convene the CLPC but shall not be present or participate in the substantive deliberation of candidates under review. The CLPC shall review the Department level recommendation and evaluate the candidate according to the criteria of professional performance as provided in this Policy and formulate a written recommendation for promotion or non-promotion which includes a description and assessment of the strengths and weaknesses of the candidate's performance in relation to the criteria for promotion. The CLPC report and recommendation on each candidate shall be forwarded to the Dean, with a copy to the candidate and the Personnel File.
- E. Following receipt of the CLPC recommendation, the Dean shall review it, the Portfolio, and the candidate's Personnel File. In the event the Dean considers overturning the CLPC recommendation, the Dean may request a meeting with the CLPC. The Dean shall make a written recommendation which includes a description and assessment of the strengths and weaknesses of the candidate's performance in relation to the criteria of professional performance as provided in this Policy to the Vice Chancellor for Academic Affairs with a copy to the candidate and her/his Personnel File.
- F. In cases of application for promotion to Associate Professor or to Professor, the Vice Chancellor for Academic Affairs will request the Campus Promotions Committee (CPC) to analyze and review the recommendation and the Personnel File. The CPC shall transmit a written recommendation which includes a description and assessment of the strengths and weaknesses of the candidate's performance in relation to the criteria for promotion to the Vice Chancellor for Academic Affairs, with a copy to the candidate, and the candidate's Personnel File.
- G. The candidate may provide written comments to the Vice Chancellor for Academic Affairs concerning the assessment and recommendations of the Dean, the CLPC, and/or the CPC, offering clarification, stating any disagreement, and/or asserting any allegations of procedural error or discrimination. At each level, comments must be made within five (5) working days of the receipt of the copy of the recommendation, with a copy to the Personnel File.

- H. The Vice Chancellor for Academic Affairs shall consider all relevant materials and make a positive or negative written recommendation which includes a description and assessment of the strengths and weaknesses of the candidate's performance based on the criteria of professional performance as provided in this Policy to the Chancellor. Copies of the recommendation shall be sent to the candidate, the Dean, the Campus Promotions Committee chair, and the candidate's Personnel File.
- I. The Chancellor shall make a recommendation to the President to promote or not to promote based on the criteria of professional performance as provided in this Policy and shall inform the candidate of her/his decision and the reasons in accordance with the Campus Academic Personnel Calendar.
- J. Promotion may be awarded by the Board of Trustees upon the recommendation of the Chancellor and the President. See Article IX Sec. 3 of the University Statutes found in Appendix 1).

Section 5. Promotion for Clinical Professors and Research Professors

For promotion of Clinical Professors or Research Professors, a faculty member must demonstrate excellence in the performance of her/his responsibilities based upon the expectations established at the time of hire or contract renewal. As such, the evaluation criteria may vary from case to case.

A. Eligibility and Consideration for Promotion to Clinical Associate or Research Associate Professor

To be eligible for promotion to the rank of Clinical Associate or Research Associate Professor, a candidate must have an earned doctorate in an appropriate discipline except as provided in Article 10, Section 4(A). The candidate must have ordinarily served a minimum of six (6) years full time as a Clinical or Research Assistant Professor, but that time may be reduced to no less than three (3) years upon agreement with the Dean at the time of hire based upon experience at other institutions. An application for promotion is optional, and the denial of promotion after an application has been submitted does not require termination of the candidate's appointment. A second or subsequent application for promotion may be submitted no less than two years after a prior unsuccessful application for promotion.

B. Eligibility and Consideration for Promotion to Clinical or Research Professor

To be eligible for promotion to the rank of Clinical or Research Professor, a candidate must have an earned doctorate in an appropriate discipline except as provided in Article 10, Section 4(A). The candidate must have served at least six (6) years as a Clinical Associate Professor or Research Associate Professor at the University or at a comparable institution and have completed two (2) years of full-time continuous service at the University in the rank of

Clinical Associate Professor or Research Associate Professor before being awarded the rank of Clinical Professor or Research Professor.

To meet the standards of service expected of a full Clinical or Research Professor, the candidate must demonstrate a sustained pattern of excellence in the performance of her/his responsibilities based upon the expectations established at the time of hire, with significant contributions to the university, her or his discipline, and/or the external community.

C. Pre-Promotion Review for Clinical and Research Professors

Clinical or Research faculty who intend to apply for promotion to the Associate level in the 2019-2020 academic year or later shall complete a pre-promotion review. Following the completion of a pre-promotion review, the faculty member shall wait at least one academic year before applying for promotion. The review process shall focus on a formative and advisory approach to enhancing professional development.

1. Each faculty member shall be responsible for the preparation of a narrative self-evaluative summary that reviews and interprets his/her accomplishments in the context of the standards and expectations established for the faculty member at the time of hire or contract renewal and in this Policy. The faculty member shall additionally prepare a portfolio that documents effective performance and accomplishment and indicates significant progress toward becoming a high quality faculty member.
2. The portfolio shall include a current resume or curriculum vitae and a summary and analysis of student evaluations of teaching, if the faculty member's appointment includes formal course assignments. The narrative shall be submitted to the Personnel File, and the narrative and portfolio shall be submitted to the faculty files custodian, with a copy of the narrative submitted to the Department Personnel Committee Chair or to the Department Chair or Unit Head if no personnel committee exists, and to the Dean, in accordance with the Campus Academic Personnel Calendar. The narrative document may not be altered or replaced once it is submitted. After that time, any substantive clarifications, explanations, or changes that the faculty member wishes to make to information contained in the narrative must be submitted separately to the faculty member's Personnel File in the form of a memo. The faculty member may withdraw her/his review at any point prior to receiving the Dean's evaluation.
3. The narrative, portfolio and the faculty member's Personnel File shall be reviewed by the Personnel Committee of the Department to which the faculty member is principally assigned, or the Department Chair or Unit Head if no Personnel Committee exists. The faculty member shall be evaluated according to the criteria of professional performance

as specified at the time of hire or contract renewal and in this Policy. Following the review, a written evaluation summary shall be transmitted to the Dean or Dean equivalent, with a copy to the faculty member and the her/his Personnel File. The evaluation shall include a description and assessment of the strengths and weaknesses of the faculty member's performance in relation to the established criteria.

4. The faculty member may provide written comments to the Dean concerning the assessment(s) made at prior levels, stating any disagreement and any allegations of procedural error or discrimination. Such comments must be made within five (5) working days of receipt of the evaluation, with a copy sent to the Personnel File.
5. Following receipt of the written evaluation, the Dean/Dean-equivalent shall review it, the narrative, the portfolio, and the faculty member's Personnel File. The Dean/Dean-equivalent shall make a written evaluation which includes a description and assessment of the strengths and weaknesses of the faculty member's performance in relation to the criteria of professional performance as provided in the letter of hire or contract renewal and in this Policy, which shall be provided to the Department Chair/Unit Head, the faculty member, and her/his Personnel File.

D. Review and Assessment Process for Promotion

1. Candidates for promotion consideration have the burden of proof and documentation. Each candidate shall be responsible for the preparation of a narrative self-evaluative summary that reviews and interprets his/her accomplishments in the context of the standards and expectations established for the faculty member at the time of hire or contract renewal and in this Policy. The applicant shall additionally prepare a portfolio that documents eligibility and satisfaction of the criteria for the rank sought as specified in this Policy.
2. A Clinical or Research faculty member being reviewed for promotion must submit an application narrative and portfolio which documents the extent to which her/his professional activities meet the standards for promotion, and which includes a current resume or curriculum vitae, and a summary and analysis of student evaluations of teaching, if the faculty member's appointment includes formal course assignments. The application narrative and portfolio shall be submitted to the Personnel File, with a copy of the application narrative submitted to the Department Personnel Committee Chair, or to the Department Chair or Unit Head if no personnel committee exists, and to the Dean, in accordance with the Campus Academic Personnel Calendar. The Narrative document may not be altered or replaced once it is submitted. After that time, any

substantive clarifications, explanations, or changes that the candidate wishes to make to information contained in the Narrative must be submitted separately to the candidate's Personnel File in the form of a memo. Failure to submit an application narrative and portfolio to the Personnel File and an application narrative to the Department Personnel Committee Chair, or to the Department Chair or unit head if no personnel committee exists, by the date specified in the Campus Academic Personnel Calendar constitutes a waiver of the right to apply for promotion.

3. The Narrative, Portfolio and the candidate's Personnel File shall be reviewed by the Personnel Committee of the Department to which the candidate is principally assigned, or the Department Chair or Unit Head if no Personnel Committee exists. Candidates for promotion must be evaluated according to the criteria of professional performance as specified at the time of hire or contract renewal and in this Policy. Following the review, the written recommendation to promote or not promote shall be transmitted to the Dean or Dean equivalent, with a copy to the candidate and the candidate's Personnel File. The recommendation shall include a description and assessment of the strengths and weaknesses of the candidate's performance in relation to the criteria for promotion.
4. Following receipt of the written recommendation, the Dean/Dean-equivalent shall review it, the Narrative, the Portfolio, and the candidate's Personnel File. The Dean/Dean-equivalent shall make a written recommendation which includes a description and assessment of the strengths and weaknesses of the candidate's performance in relation to the criteria of professional performance as provided in the letter of hire or contract renewal and in this Policy to the Vice Chancellor for Academic Affairs with a copy to the candidate and her/his Personnel File.
5. The candidate may provide written comments to the Vice Chancellor for Academic Affairs concerning the assessment and recommendations made at prior levels of review, stating any disagreement and any allegations of procedural error or discrimination. Such comments must be made within five (5) working days of receipt of the recommendation, with a copy sent to the Personnel File.
6. The Vice Chancellor for Academic Affairs shall consider all relevant material including recommendations made at prior levels of review, and will formulate a decision for promotion based upon criteria of professional performance as provided for in the candidate's letter of hire or contract renewal and in this Policy. The Vice Chancellor for Academic Affairs shall notify the candidate in writing of her/his decision and the

rationale, which must include an assessment of the strengths and weaknesses of the faculty member being reviewed. Copies of the notification shall be provided to the Dean/Dean-equivalent, Department Chair/Unit Head, and the Personnel File.

ARTICLE 7 TENURE

Section 1. General Considerations

Tenure exists as a protection of academic freedom and assures the faculty member that her/his academic appointment will continue unless terminated for cause or other reasons specified in this Policy. The locus of tenure resides at the campus level. It is a status awarded by the Board of Trustees upon the positive recommendation of the President and Chancellor following a period of probationary service of no more than six (6) years, and a favorable evaluation of the faculty member's performance according to the criteria of professional performance specified in this Policy. A record of service and scholarship prior to coming to UIS may be considered as part of a holistic evaluation of the candidate's record. Tenure applications must be made according to the Campus Academic Personnel Calendar. The Narrative document may not be altered or replaced once it is submitted. After that time, any substantive clarifications, explanations, or changes that the candidate wishes to make to information contained in the Narrative must be submitted separately to the candidate's Personnel File in the form of a memo. Failure to submit an application narrative and portfolio to the Personnel File and an application narrative to the Department Personnel Committee Chair by the date specified in the personnel calendar constitutes a waiver of the right to apply for tenure.

Section 2. Performance Standards

To be recommended for tenure, the candidate must, as defined in Article 3, demonstrate and document a clear record of excellence in teaching at the University of Illinois Springfield. S/he must also document and demonstrate a record of at least high quality in either scholarship or service, with performance in the other category being, at a minimum, satisfactory.

Faculty may follow different patterns of professional growth and development in achieving high quality in the combined categories of scholarship and service. Some will divide their non-teaching activities relatively equally, demonstrating high quality in the balance in the context of an institution where teaching is primary. Others will choose to focus their energies in one of the categories, reaching high quality of performance in one, and satisfactory performance in the other.

Section 3. Probationary Service and Eligibility

- A. Only faculty members at the rank of assistant professor, associate professor, and professor are eligible to apply for tenure.
- B. Probationary service prior to being tenured shall normally be six (6) years of full-time service for persons at the rank of assistant professor or above at one or more institutions of higher education, including at least three (3) years of experience at the University of Illinois

at Springfield. A faculty member with more full-time service at the rank of instructor or above at accredited institutions of higher education, may elect to apply up to three (3) years of credit for such service at other institutions toward the total of six (6) years. Service at UIS on a temporary or visiting appointment, or while on leaves of absence, shall not normally be counted as part of the probationary period. The probationary period shall be agreed upon by the faculty member and the administration in the initial appointment letter. Any modifications in the probationary period can be done through Section C.

- C. An interruption of the probationary period (rollback in the tenure year code) may be granted for one year upon request when an event or compelling circumstances cause substantial impairment of a candidate's ability to pursue his or her teaching, scholarly activities, and/or service. A rollback may postpone the date of all scheduled reappointment reviews as well as the tenure review date. Any change in reappointment review schedules must be specified in the candidate's request. Faculty who avail themselves of a rollback shall be held to the teaching, service, and scholarship standards laid out in the Faculty Personnel Policy, and shall not be subject to different expectations based on years of service than all other faculty during the reappointment, tenure and promotion application process as a result of the rollback. Faculty who wish to request a tenure rollback should make the request in writing to their respective department chair. The request should be endorsed by the Dean and submitted for approval by the Provost. Once approved by the Provost, a special written agreement will be prepared and must be signed by the faculty member, the department chair, the Dean, the Provost, and the Chancellor. A tenure rollback form documenting the revised reappointment and/or tenure review dates will be placed in the faculty member's personnel file. Ordinarily, no more than two such rollbacks will be granted. A rollback may be granted in the case of disability or extended and/or severe personal illness. A rollback may also be granted for compelling obligations to a member of the family or household that requires significant time away from University duties. Except in extraordinary circumstances, a rollback will be granted in the event of the birth or adoption of a child under six years old. Finally, a rollback may be granted under circumstances beyond the control of the faculty member, such as grave administrative error. Confidentiality relating to the grounds of the request will be maintained.
- D. Because the standards of performance for promotion to associate professor are the same as those for tenure, a faculty member who meets the requirements for promotion to associate

professor under Article 6 shall be automatically promoted to Associate Professor upon the award of tenure under this Article without a separate application for promotion.

Section 4. Application, Review and Notification

- A. Candidates for tenure consideration have the burden of proof and documentation of qualifications and performance and shall be responsible for preparing a Portfolio for Tenure.
- B. The Department shall evaluate the candidate by reviewing the Portfolio and the candidate's Personnel File and provide a written evaluation and recommendation according to the criteria of professional performance as provided in this Policy.
- C. If the candidate has any disagreement with the Department's recommendation, she/he may provide comments to the Dean. These comments must be in writing and submitted within five (5) working days of receipt of the copy of the Department's recommendation by the candidate. These comments should address the areas of disagreement with the recommendation, and any claim of procedural error or discrimination.
- D. The Dean shall refer the Department recommendation to the CLPC. The Dean shall convene the CLPC but shall not be present or participate in the substantive deliberation of candidates under review. The CLPC shall review the recommendation, evaluate the candidate according to the criteria of professional performance as provided in this Policy and formulate a written recommendation for tenure or denial of tenure. The CLPC report and recommendation on each candidate shall be forwarded to the Dean with a copy to the candidate and the Personnel File.
- E. The Dean shall consider the Portfolio, the Personnel File, and the written evaluation and recommendation of the Department and the College Level Personnel Committee in formulating her/his evaluation and recommendation to the Vice Chancellor for Academic Affairs. In the event the Dean considers overturning the CLPC recommendation, the Dean may request a meeting with the CLPC. The recommendation shall be in writing and based on the criteria of professional performance as specified in this Policy and the continuing need for the faculty member. A copy of the Dean's recommendation shall be sent to the candidate and the Personnel File.
- F. The Vice Chancellor for Academic Affairs shall refer the Dean's recommendation along with any written comments of the candidate regarding the Dean's recommendation to the Tenure Review Committee (TRC).
- G. The TRC shall review the Portfolio and the Personnel File, the Dean's recommendation and the candidate's comments, if any, and evaluate the candidate's performance based on the criteria of professional performance as provided in this Policy and provide a written

evaluation and recommendation to the Vice Chancellor for Academic Affairs, with a copy to the candidate and the Personnel File.

- H. The candidate may provide written comments to the Vice Chancellor for Academic Affairs concerning the assessment and recommendations of the Dean, the CLPC, and/or the TRC, offering clarification, stating any disagreement, and/or asserting any allegations of procedural error or discrimination. At each level, comments must be made within five (5) working days of the receipt of the copy of the recommendation, with a copy to the Personnel File.
- I. Upon receipt of the TRC report, the Vice Chancellor for Academic Affairs will review the Portfolio and the Personnel File and make a written recommendation to the Chancellor based on the criteria of professional performance and continuing need as provided in this Policy, with a copy to the candidate, the Dean, the Department Chair, and the Personnel File.
- J. The Chancellor shall review all materials generated in the evaluation process and formulate a recommendation to the President, based on the criteria of professional performance and continuing need as provided in this Policy. The Chancellor shall notify the candidate of her/his recommendation with a copy to the Vice Chancellor for Academic Affairs, the Dean, the TRC chair, the Department and the Personnel File.
- K. Tenure may be awarded by the Board of Trustees upon the recommendation of the President and the Chancellor (See Article X Sec 1(b) of the University Statutes, found in Appendix 1).

Section 5. Waiver of Probationary Service

Waivers of probationary service can be granted only if the person for whom the waiver is sought holds academic credentials within a disciplinary area appropriate to one of the academic Departments at the University of Illinois at Springfield. Such waivers will not be granted without deliberation by and positive recommendation of the appropriate academic Department Personnel Committee in the College in which the faculty has their tenure home and the Campus Tenure Review Committee.

When the candidate for whom a waiver is sought is being appointed as a full-time administrator, Distinguished Chair, Distinguished Professor, Associate Professor or Full Professor, the Chancellor or Chancellor's designee may recommend to the Vice Chancellor for Academic Affairs a waiver of probationary service for tenure at the time of appointment. The Vice Chancellor for Academic Affairs shall submit the request to the Dean of the College of the Department in which the faculty will have their tenure home. The Dean shall provide the Department and the Tenure Review Committee a current vita and a memo that provides a substantial rationale for how the candidate meets each of the criteria for tenure, and supporting documentation. The Department Personnel Committee shall submit a written recommendation to the Dean, who shall forward the recommendation to the Tenure Review Committee.

The Tenure Review Committee shall provide a written recommendation to the Vice Chancellor for Academic Affairs, who shall review it along with all prior recommendations and submit a written recommendation to the Chancellor. The Chancellor shall review all materials generated in the evaluation process and formulate a recommendation to the University President and/or Board of Trustees. The Chancellor shall notify the candidate of her/his recommendation with a copy to the Vice Chancellor for Academic Affairs, the Dean, the TRC Chair, the Department and the Personnel File.

Section 6. Notice of Chancellor's Recommendation

Written notice of the Chancellor's recommendation concerning tenure will be provided to the faculty member by the Chancellor in accordance with the Campus Academic Personnel Calendar. In the event that a faculty member is not recommended for tenure, she/he will be employed for the subsequent academic year as the terminal year of employment. Faculty on terminal year contracts may not serve on campus governance or institutional committees.

Section 7. Written Reasons for Denial of Tenure

Within ten (10) working days of notice from the Chancellor of recommendation for denial of tenure, a faculty member may request in writing that the Chancellor provide written reasons for denial of tenure. The Chancellor shall provide written reasons within five (5) working days of her/his receipt of the request.

ARTICLE 8
SABBATICAL LEAVE AND AWARDS

Section 1. Sabbatical Leave

A. Eligibility for and Terms of Sabbaticals

Eligibility for and terms of sabbatical leaves are provided in Article IX Sec. 7 of the University Statutes. (See Appendix 1)

B. Purposes and Uses of Sabbaticals

A sabbatical leave may be used for one or more of the following purposes: improving professional competence in a field appropriate to the applicant's professional responsibilities; undertaking a public affairs project; conducting research; engaging in artistic or professional creative activity; developing instructional materials such as texts or laboratory manuals; or other purposes such as general professional development and renewal. No use shall be preferred over any other use. The sabbatical activity must be consistent with Department, College, Campus and/or University priorities and needs as jointly determined by the Campus Sabbatical and Awards Committee (CSAC) and the Vice Chancellor for Academic Affairs.

C. Number of Sabbaticals

Normally, the number of sabbaticals approved for the campus in any academic year will be determined by a ratio of one (1) sabbatical leave to each twenty (20) full-time faculty members. However, the total number of sabbaticals can be greater than the number suggested by this ratio to account for demographic fluctuations in hiring practices and variations in the number of applications from year to year.

D. Conditions of Sabbaticals

Each faculty member who is granted a sabbatical leave shall serve the University for at least two (2) semesters, excluding the summer, following the sabbatical. In lieu of meeting the service requirement, the faculty member may satisfy this obligation by refunding the University the salary paid while on sabbatical.

E. Campus Sabbatical and Awards Committee

The Campus Sabbatical and Awards Committee (CSAC) shall review and evaluate sabbatical proposals and nominations for campus-level awards. This excludes University level awards or programs such as the University Scholars Awards or awards offered by campus sub-units such as Colleges or Institutes. If a member of the CSAC is being considered by the committee for sabbatical, that member shall resign from the CSAC. A

replacement representative will be elected according to the procedures set forth in Article 2 of these Policies.

F. Process for Sabbaticals

1. Applications for sabbatical leave, which will be accompanied by a Department recommendation, shall be sent to the Dean of the College in which the faculty member is principally assigned. The Dean shall review each application and forward all applications, along with her/his ranking of those recommended for approval, and a rationale for those not recommended for approval to the Campus Sabbatical and Awards Committee according to the schedule established in the Campus Academic Personnel Calendar.
2. The CSAC will review and evaluate the proposals to ensure that they fall within the purposes and uses as specified in Section 1(B) of this Article, rejecting those that do not.
3. The CSAC will numerically rank-order the remaining applications based solely on the academic merit of the proposal, the prospect of successful completion, and the clarity of the application materials, and will provide written recommendations to the Vice Chancellor for Academic Affairs with a copy to the faculty member.
4. The Vice Chancellor for Academic Affairs shall then review the Committee's recommendation and report and make his/her recommendation to the Chancellor based on the provisions set forth above. A copy of her/his recommendation regarding each applicant will be sent to that faculty member.
5. The Chancellor shall review all materials generated in the evaluation process and formulate a final recommendation concerning sabbaticals, based on the provisions set forth above. The Chancellor shall notify the applicants of her/his recommendation and the reasons for it in writing, with a copy to the Vice Chancellor for Academic Affairs, the Dean, the CSAC chair, the Department, and the Personnel File by the last day of classes of the fall semester.
6. The Chancellor's recommendation for a sabbatical leave is subject to the approval of the President and the Board of Trustees [Article IX Sec. 7 of the University Statutes].

G. Report on Sabbaticals

Each recipient shall make a presentation on the sabbatical to her/his campus colleagues in the academic year following the sabbatical, and submit a report to her/his Personnel File by the deadline established in the Academic Personnel Calendar.

Section 2. Awards

Each year the Provost's office will announce the opening of nominations for faculty awards. Each nomination must be accompanied by a letter of support with rationale. A nominee's file will remain active for three years unless the nominee is selected for the award. The Campus Sabbatical and Awards committee will review nominations and select a candidate that meets the criteria set forth for the award. Nomination guidelines will be distributed by the Provost. If a member of the CSAC is nominated for a faculty award, that member shall recuse her/himself from the deliberation of the particular award for which they are being considered. The deliberations shall take place without the appointment of a replacement representative.

ARTICLE 9
PROFESSIONAL RESPONSIBILITIES

Section 1. General Description of Professional Responsibilities

Professional responsibilities include instructional and non-instructional activities and those responsibilities that are consistent with professional obligations, duties, and expectations of university faculty. In addition to the general professional ethics and standards expected of University faculty, as articulated in the AAUP Statement on Professional Ethics (See Appendix 2), faculty members shall perform professional responsibilities as described in this Policy. Professional responsibilities include teaching, scholarship and service. Compensation for responsibilities and activities beyond that of a faculty member's regular workload governed by this article will be specified in Appendix 13. This compensation schedule (Appendix 13) will be reviewed every two years by an advisory committee consisting of the Deans and a faculty representative from each college, including the library, appointed by the Campus Senate. This committee will make recommendations to the Provost who will present his or her recommendations to the Campus Senate for approval or rejection without amendment.

Section 2. Academic Year Contract Obligations

The obligations of members of the faculty on an academic year contract shall start with the beginning of the Fall Semester, as established by the Campus between August 15 and August 31 and shall extend for nine (9) consecutive months. Each Academic Year shall consist of two (2) sixteen-week (16-week) semesters of instruction, with a week preceding each semester for student advising, registration, Department and College meetings and other preparatory activities, and the submission of grades by dates specified by the Campus.

Section 3. Workload Reporting and Guidelines

Each Department is responsible for developing and reporting to the appropriate Dean for approval a schedule of faculty assignments. The faculty assignments shall be developed according to the course schedule preparation deadlines established within each college. Faculty assignments may be modified in accordance with the provisions of this Article. In preparing the plan, the following standards shall be applied:

- A. Credit generating classroom instruction, including distance learning, for each semester for each full-time teaching member shall be not more than twelve (12) workload hours nor less than eight (8) workload hours in classroom instruction except as provided in this Section. The academic year average for each faculty member shall be twelve (12) workload hours per semester. Workload hours for faculty are not necessarily identical to credit hours of

instruction. For the purposes of determining workload, a three (3) credit hour course shall count as the same workload as a four (4) credit hour course.

The workload for non-tenure track faculty may vary up to four (4) courses per semester based on contractual agreements. Four-course workloads shall apply only when a faculty member's service and scholarship obligations are substantially reduced, in accordance with Article 3 Section 3 of the Faculty Personnel Policies. Workloads for non-tenure track faculty will be specified in yearly letters of hire. The number of non-tenure track faculty who are assigned four-course workloads shall not be greater than ten percent of the College's total number of full-time faculty. Four-course workloads for non-tenure track faculty shall not exceed three course preparations per semester.

- B. Clinical instruction workload shall be determined according to the current practices in effect.
- C. The laboratory portion of a lecture-laboratory course is a separate and additional part of the supervising faculty member's workload. Laboratory workload is based on the number of scheduled student contact hours each week, with each contact hour counted as one (1) hour of workload. Courses in which an assistant helps with the laboratory portion may count for less workload than stated above if the faculty member's Department and the Dean both agree. In the event of disagreement between the Department and the Dean, the VCAA will resolve the dispute.
- D. Overload compensation for faculty members who supervise Liberal & Integrative Studies and Liberal Studies students in field work, independent study, tutorial, and/or final demonstration projects shall be specified in Appendix 13.
- E. Library faculty members shall work an average of thirty-seven and one-half (37 ½) hours per week, according to a schedule approved by the Library faculty and forwarded to the University Librarian and Dean of Library Instructional Services for approval. Library faculty may teach university courses as approved with the appropriate adjustment in their regular workload. If Library faculty members teach a course which results in an overload, it must be handled according to the provisions of Section 3.I. of this Article.
- F. Team-teaching of a single course by two (2) or more faculty members is recognized as an important way to enhance teaching and learning. For the purposes of this Policy, team-teaching is defined as extensive classroom interaction of the participating faculty members throughout the entire semester. This provision does not apply to classes in which professors meet alternately with the class or to instances where professors deliver occasional guest lectures. Workload credit for each faculty member teaching a team-taught course will be granted according to the current guidelines (see Appendix 3). Workload credit for team-

taught courses will be approved as part of the workload plan for each faculty member in accordance with this section of this article.

- G. Up to four (4) credit hours beyond the teaching workload (12 workload hours) may be taught by a faculty member during an academic year upon the condition that: 1) the overload will reduce the instructional load proportionately for the following semester or academic year, or 2) that the instructor will be paid overload at the rate specified in this Policy. The manner in which overload is covered will be determined in advance by the Campus Administration and the faculty member concerned. In exceptional circumstances, faculty members who petition and receive approval by the Department and Dean may teach more than one (1) overload course during an academic year. Overload compensation shall be specified in Appendix 13.
- H. Courses in which students are enrolled for different Department credit in the same class meeting at the same time will count as one (1) course and one (1) preparation for the purpose of this Article.
- I. The Dean, in consultation with the College's Executive Committee or Academic Cabinet, may approve recommendations for non-instructional assignments (NIAs) for research or service work in a research center or institute, for Department development needs as determined by the Campus Administration, and for other short term administrative and/or developmental activities subject to the current guidelines (see Appendix 4). Such NIAs shall not reduce the classroom instructional minimum of eight (8) workload hours per semester except as judged appropriate by the Dean. An NIA, however, will be counted in lieu of classroom instruction when determining the workload average for the academic year.
- J. The VCAA may approve non-instructional assignments for administrative and/or developmental activities subject to the current guidelines (see Appendix 4) and may approve campus level competitive research or curriculum development awards subject to the current guidelines.
- K. Academic advising and/or mentoring of students is a regular part of the responsibilities of a full-time faculty member. To that end, the full-time faculty member shall be available to meet with her/his students at mutually convenient times and places.
- L. Arranging for student evaluations of all classroom teaching for each term is a regular part of the responsibilities of full-time faculty members. The form utilized may be the Campus accepted form or an alternative form approved by the Department, the appropriate Dean, and the Vice Chancellor for Academic Affairs, completed by students anonymously and unavailable to the faculty member until grades for the given semester have been transmitted to the Registrar. Where an alternative is used, the Provost's Office shall summarize the

results and forward the summary to the Personnel File where it shall be retained permanently.

- M. In addition to using the required standard evaluations, some faculty and departments develop and have students administer supplemental evaluations of courses and teaching. Since supplemental evaluations are formative in nature, faculty may choose how they are administered and documented. If faculty elect to develop and use a supplemental evaluation form they may use the standard course evaluation distribution and/or collection process. The supplemental evaluation packets may be deposited along with the standard course evaluation in the course evaluation drop boxes. After final grades for the semester are submitted to the Registrar, the Provost's Office will return the evaluations to the faculty member.

Section 4. Class Size

- A. Upon recommendation from the Department, the Dean, in consultation with the College's Executive Committee or Academic Cabinet, shall establish maximum and minimum class sizes for department courses, based on divisional guidelines found in Appendix 5.
- B. The Dean shall forward to the VCAA each Department's maximum and minimum class size for Department courses.
- C. If enrollment falls below the minimum established for a class, workload plans shall be adjusted in accordance with Section 3 of this Article.

Section 5. Summer Session

- A. In the staffing of available courses during the Summer Session full-time faculty members shall be given preference over part-time and temporary or visiting faculty.
- B. Taking into account the availability of funds, summer session teaching appointments shall be made by the VCAA which serve the following unranked priorities: to ensure the delivery of courses required by the department to serve special student needs such as prerequisite requirements and a primarily summer school market; to ensure an adequate number of Campus required courses are offered in Springfield and at off-campus locations; and to meet student demand as shown by headcount enrollments generated by past offerings or projected student enrollments. In the distribution of remaining funds, if any, an effort will be made to provide for equitable distribution of courses among faculty members.
- C. Faculty members shall receive notice of summer appointment by May 1. Such appointments shall be contingent upon enrollment.
- D. Salaries for summer session shall be specified in Appendix 13.

Section 6. Department Direction

- A. Department administrators, irrespective of whether they are called Directors, Heads, or Chairs, have similar functions and responsibilities. Functions of department administrators are the following: provide effective leadership for faculty in the department/division; assume responsibility for seeing that decisions assigned to the department/division by university policies and procedures are made and communicated to others in the University; convey recommendations concerning such matters as curriculum development, budgetary requests, position requests, multi-year schedules, and faculty development activities. Responsibilities of department administrators include overseeing, supervising and/or coordinating the following: the work of faculty in the development of department curriculum, educational philosophy and academic standards and the department's long-term planning efforts; coordinate formal reviews of degrees and certificates (if applicable), oversee preparation of documents for follow-up and accreditation review, prepare documents for curricular changes, catalog revisions and other documents necessary to convey the department's curricular plans; develop multi-year course schedules and staffing plans for curricular delivery, consistent with institutional priorities and student needs. Prepare annual course schedule documents and faculty assignment summary sheets for faculty approval, and coordinate curricular delivery and make recommendations about non-instructional assignments; lead and participate in the selection and development of full and part-time faculty; oversee faculty searches in accordance with University policies and procedures; develop and coordinate student recruitment, retention, advising and service activities of the unit; implement and monitor admissions, student progress and closure requirements of the department's degree(s) and certificate(s) (if applicable), as well as professional certification or registration of students; represent the department(s) to external organizations and groups, inter-institutional activities and accrediting agencies; lead the department(s) in developing budget requests and priorities and approve expenditures according to them; oversee selection and supervision of the department graduate assistants and student workers as appropriate; direct the work of support staff; communicate information to and from the dean and appropriate governance bodies and report the results of department actions and deliberations; ensure representation of the department(s) on appropriate College-level committees; represent department(s) at Campus and University level meetings; lead the development of public affairs activities in the department(s) and the offering of general education courses; oversee students' clubs, honorary societies, advisory committees, etc.

- B. Department administrators who are tenured or tenure-track faculty shall receive, at a minimum, the same salary increase to their nine-month base salary and professional development funds as tenured and tenure-track faculty, and shall receive the same monetary award as tenured and tenure-track faculty for promotion.
- C. In determining the appropriate amount of support department administrators will receive for directing their departments, the following factors will be considered in relationship to the departments/divisions being administered: the number of degree programs included in the administrative unit (an undergraduate degree and graduate degree within one (1) department are considered separately for this purpose); the number of minor(s) and/or certificate program(s) included in the administrative unit; the number of online degrees, minors, or certificates in the administrative unit; the number of student major/minors served by the administrative unit; the extent to which the department administrator interacts with external affiliations, student clubs, honoraries, advisory boards, etc. on behalf of the academic department(s); whether the department administrator, as opposed to other faculty in the unit for which separate compensation is provided, coordinates the unit's internships, practicum, or clinical placements; whether the administrative unit offers degree program(s) on off-campus locations (consideration should be given to units that regularly offer two (2) or more courses at off-campus locations for which coordination is provided by the department administrator rather than the individual faculty teaching the courses or some other department administrator); the extent to which the department(s) maintain laboratories/studios for which the department administrator orders supplies, supervises staff, and/or provides oversight; the number of FTE part-time instructors regularly supervised by the department administrator; the extent to which the department(s) regularly conducts significant public affairs activities or offers general education coursework requiring coordination and direction by the administrator above and beyond the required for normal course scheduling; the number of FTE faculty included in the administrative unit; whether the unit's administrator serves as fiscal officer for department accounts; whether the unit's administrator regularly serves as fiscal officer on department grant accounts; the extent to which the administrator will be responsible for non-recurring and periodic activities; and whether the unit's administrator does all the initial student advising for the department(s).
- D. Every three to five years, the Dean, in consultation with an ad hoc faculty committee appointed by the College Executive Committee, will review and determine the extent to which the above factors contribute to the workload of the department chairs and assign compensation, in accordance with the University of Illinois General Rules, Article IV, Section 1(e), which may include release time and stipends over the

academic year and summer if warranted. The Vice Chancellor for Academic Affairs, in consultation with the Deans and the faculty of the Campus Senate Executive Committee, will have responsibility for ensuring that comparability is maintained among the Colleges.

- E. Each department, through its by-laws, will make provisions for recommending the selection and removal of the department administrator. Selection and duration of appointment for department administrators shall be approved by the appropriate Dean, Vice Chancellor for Academic Affairs, and Chancellor, upon recommendations from the appropriate department. In the event the department is unable or unwilling to select a department administrator, the Dean will select a faculty member to provide direction; or should the Dean be unable to appoint a faculty member, the Dean's office will provide administrative support to the department.
- F. Either the department or the Dean may initiate discussions to recommend removal of a department administrator; removal normally requires concurrence of both the department and the Dean. If either the department or the dean or both wish to recommend the removal of a department administrator, the department's and the dean's recommendations will be forwarded by the dean to the Vice Chancellor for Academic Affairs, who will make a recommendation to the Chancellor. The department administrator may not vote on the question of their own removal. In the event that a department administrator is removed or not reappointed, the Dean will select a faculty member to provide interim direction after consulting with the unit; should the Dean be unable to appoint a faculty member, the Dean's office will provide administrative support to the department.
- G. Both the department and the Dean shall evaluate the department administrator on their performance in providing department direction at least once every five years or more frequently if specified by department and college bylaws. The performance of the department administrator will be evaluated at the end of their term if they plan to seek reappointment and should include the results of a vote of the departmental faculty and a recommendation about reappointment. Each College will develop a form and a process for department administrator evaluation which includes input from all department faculty and staff, a self-evaluation by the department administrator, and written feedback from the dean to the department administrator. The evaluation by the Dean and such other documents as designated by the College shall be placed in the personnel file.

Section 7. Off-Campus Instruction

- A. Compensation for off-campus instruction shall be specified in Appendix 13. A relocation allowance shall be paid to all faculty members teaching at off-campus sites.

- B. A relocation allowance is a supplementary payment in addition to the faculty member's regular salary. Travel reimbursements will also be paid, at regular and established rates, to faculty teaching off-campus.
- C. Faculty members may not be required to teach at an off-campus site outside of the agreed upon workload procedures established in Section 3 of this Article.

Section 8. Professional Development Fund

A. Purpose

The Campus will establish a faculty professional development fund which will be housed in the Academic Affairs Division of the Campus to support faculty activities which are designed to enhance the performance of professional responsibilities of the faculty. The fund will include money for travel to professional conferences, association meetings, workshops and seminars, and other approved activities; and for contractual items such as conference registrations, professional organizational memberships, duplicating services, or other professional development expenses which may be reimbursed out of contractual funds. The professional development fund is in addition to travel reimbursement funds budgeted for the purpose of supporting off-campus instruction and travel pursuant to administrative requests of faculty members to undertake other off-campus assignments (e.g., admissions recruitment, faculty recruitment, etc.) and to contractual funds budgeted for the purpose of supporting academic units or their equivalents in their day to day operations.

B. Funding

The Administration will provide funding per fiscal year for professional development travel and contractual items on a per capita basis. Each faculty member will be provided with access to a certain sum which shall be administered by the College and which is transferable to any other faculty member, but which shall be void after the deadlines established by the College. Faculty development compensation shall be specified in Appendix 13.

Reimbursement for travel expenses under this Article must be eligible under the rules promulgated by the State Higher Education Travel Control Board. Reimbursement for travel and contractual expenses must be consistent with applicable University policies and procedures related to travel reimbursement and contractual expenditures.

As soon as possible but not more than thirty (30) days following approved faculty travel for professional development, the faculty member shall submit, through the Dean's office, a claim for reimbursement on the appropriate University travel reimbursement forms along with required receipts, documentation, and voucher(s).

Section 9. Request for Reallocation of Duties

In the event that full time tenured and tenure-track faculty are unable to meet any of the expectations outlined in the personnel policies for a period of eight weeks or more, but have not been granted a leave of absence, Family and Medical Leave Act leave, or other approved leave, the following procedures shall apply. The faculty member shall submit to the Dean a written request for reallocation of duties that includes the nature of the reallocation and the specific period for which it is requested. The request shall be accompanied by a letter of recommendation from the Department that includes the results of a Departmental vote. Requests and letters of recommendation shall include an analysis of the impact of the reallocation on departmental functions. After considering the Departmental recommendation, the Dean shall submit a recommendation to the Provost for approval. Approvals may last no more than one academic year, but may extend beyond such time with a renewed request that follows the above process and is submitted at least three months prior to the start of the semester for which the renewal is requested.

ARTICLE 10
FACULTY APPOINTMENT PROCEDURES

Section 1. General Policy

Members of the faculty shall be involved in the selection of new faculty who will become members of the faculty upon employment. All employees with half-time appointments or above hired to provide professional services currently performed by faculty and other faculty members shall be appointed in accordance with this Article, except for employees providing educational support and research services such as research associates, training coordinators and public service associates and for those with less than half-time appointments (refer to Section 7). The search process for faculty hires, including visiting and temporary appointments, shall be based on guidelines established by the Vice Chancellor for Academic Affairs and the Academic Cabinet and made available to all faculty members. These guidelines shall be consistent with this Article.

Section 2. Composition of Search Committees

Faculty members from the Department in which the new faculty member is being hired shall be appointed to the Search Committee by the appropriate Dean, in consultation with faculty members of the Department, Center, or Unit concerned. If the position involves more than one (1) Department, Unit or College, appropriate representation from those units must be assured. The Search Committee shall include at least one (1) student. At its initial meeting, the Search Committee shall elect a chair. The full Search Committee will develop a search plan and an advertisement consistent with the job description and forward them to the Dean for approval.

Section 3. Role of Search Committee

The duties of the Search Committee will be to assure that the search process is consistent with the search plan, that a sufficient pool of candidates is secured, that the credentials of each candidate are thoroughly reviewed, and to provide in writing to the Dean recommendations for candidates to interview with a supporting evaluation of each. No candidates shall be selected for interview without having come from the pool with a positive recommendation from the Search Committee. Finally, the Search Committee shall provide to the Dean a written assessment of and recommendation on all candidates interviewed. In the event the Dean disagrees with the recommendation of the Search Committee, she/he will confer with the Committee and seek to achieve consensus. If the Vice Chancellor for Academic Affairs disagrees with the recommendation of the Search Committee/Dean, she/he shall convene the Committee and Dean to engage in further discussion and deliberation in an attempt to reach consensus. No appointments shall be made without the positive recommendation of the Search Committee and the Department faculty.

Section 4. Consideration for Terms of Appointment

A. Degree Prerequisites for Academic Rank

Although the amount of formal study beyond the Master's degree will, of necessity, vary from discipline to discipline, the following degree requirements are considered to be the normal prerequisites for appointment to academic ranks.

- 1. Professor.** Appointment at the rank of full professor is conditioned upon the possession of an earned doctorate or terminal degree.
- 2. Associate Professor.** Appointment at the rank of associate professor is conditioned upon the possession of an earned doctorate or terminal degree.
- 3. Assistant Professor.** Appointment at the rank of assistant professor is conditioned upon the possession of an earned doctorate or terminal degree.
- 4. Lecturer.** Appointment at the rank of lecturer is conditioned upon completion of all course work for the doctorate except for the dissertation (ABD) or comparable closure exercise for the terminal degree.
- 5. Instructor.** Appointment at the rank of Instructor is normally conditioned upon the candidate's possession of a Master's Degree. When a candidate is hired without a Master's Degree, an explanation must accompany the appointment.

B. Equivalencies and Exemptions in Consideration of Rank

In disciplines in which the Master's Degree is considered terminal, or in which universities classified as doctoral or research institutions and non-academic institutions hire almost all available doctorates, the possession of a Master's Degree in that discipline will substitute for the requirement of an earned doctorate.

In exceptional circumstances, degree and/or academic requirements may be met by equivalencies. If, at the time of appointment, experience equivalent to the degree and academic requirements is accepted, the tenure-track faculty member will be eligible for promotion to subsequent rank upon the completion of years in service at rank as provided for in Article 6 and for tenure upon completion of probationary service as provided for in Article 7.

C. Presumption of Qualifications

The decision to hire a faculty member indicates possession of the stated requirements or equivalent qualifications unless otherwise stated.

D. Contingency Arrangements of All Degree Requirements but Dissertation (ABDs)

Faculty appointed as lecturers with the expectation that they will complete their doctorate to move into tenure-track positions may be granted a contingency contract stating that their

continued appointment is contingent upon completion of the dissertation by a date specified in their appointment letters, not to exceed the end of the first year of their appointment. Upon completion of the dissertation, as shown by a letter from the Dean of the College or other appropriate university official or an official transcript, the faculty member will be deemed to have satisfied the contingency and will receive a salary increase specified in Appendix 13.

E. Faculty Hired Mid-Year

For all purposes under the terms of this Policy, faculty appointed to the Campus mid-academic year will be treated as if the appointment began the next academic year.

F. Research/Clinical Faculty Appointments

These are non-tenure track appointments per *Article IX, Section 3c* of the *UI Statutes*.

1. **Research Appointments.** These appointments include those who are engaged in primarily sponsored research activities.
2. **Clinical Appointments.** These appointments include those who are engaged in primarily practice-oriented activities.
3. **The Clinical/Research Modifier** may be applied to the Instructor and Assistant/Associate/Full professor rank. Individuals that hold these appointments should meet the qualifications specified in *Article 10, Section 4*.

G. Initial Term (“Q”) Appointments for New Associate and Full Professors

Initial Term appointments may be used when a department/unit is appointing a person from outside of academia who is distinguished in her or his field but wishes to establish a record of accomplishment at UIS in any of the areas (teaching, scholarship, and service) prior to applying for tenure. An Initial Term appointment may also be appropriate for faculty who are or have been tenured at another institution and seek appointment at UIS and where there is mutual agreement between the institution and candidate that a probationary period is appropriate. In these cases the appointment allows for an initial appointment at the rank of associate or full professor with a probationary period as provided for in Article X, Section 1a(1) of the *U of I Statutes*. These appointments usually shall be for three or four year terms. In the case of three year appointments, tenure review will occur in the second year. In the case of four-year appointments, a review for reappointment will occur in the second year and tenure review will occur in the third year. In exceptional cases, five or six-year appointments may be used. Reappointment will occur in the second year for five-year appointments and in the second and fourth year for six-year appointments. Tenure review will occur in the fourth year for five-year appointments and the fifth year in six-year

appointments. The review schedule for all appointments will include a terminal year. These options for reappointment and time of tenure review are depicted in Chart 2. Consideration of a record of service and scholarship prior to coming to UIS may be considered as part of a holistic evaluation of the candidate's record.

H. Adjunct Faculty Appointments

These are non-tenure track appointments per *Article IX, Section 3c* of the *UI Statutes*.

1. The "Adjunct" modifier may be applied to the Instructor, Lecturer and Assistant/Associate/Full professor rank. Individuals that hold these appointments must have credentials equivalent to those of persons appointed to comparable ranks (titles) of the regular faculty.
2. Recommendations for an Adjunct faculty member's rank shall be made by departments, out of which the adjunct faculty is appointed, to the Dean of the College. Recommendations should include supporting documentation that the background and experience equivalences specified in *Article 10, Section 4* have been met.
3. Recommendations for an Adjunct faculty member's rank for faculty teaching across multiple colleges must be approved by all departments and Deans involved with adjunct appointment.

I Scholar in Residence

Under some circumstances, departments may recommend, subject to the approvals of the Deans and Provost, that an on-campus or online Adjunct or Non-Tenure Track faculty be designated as "Scholar in Residence." Other "In Residence" titles may be considered and approved by the Dean and Provost on a case-by-case basis. Such an individual would possess a combination of academic background and career expertise that makes a valuable contribution to the undergraduate and/or graduate curricula. This individual should normally hold the terminal degree appropriate for their discipline, but may have spent much or all of their time outside of academia. The Scholar in Residence may provide instruction in their area of expertise, clinical or lab supervision/instruction, or other activities that require the talents and experiences developed in their careers outside of academia.

Section 5. Individual Recommendation to Hire Letter

- A. All individual appointments shall be subject to the terms of this Policy.
- B. Each faculty member shall receive an individual recommendation to hire letter, an initial appointment and an annual reappointment letter for each successive year. The initial recommendation to hire letter shall specify the period of appointment including the beginning date and ending date, if applicable; the type of appointment (e.g., probationary,

tenured, temporary, and administrative); the rank or title of the individual; the evaluating unit for a tenure-track faculty member; the probationary years for a tenure-track faculty member; a statement concerning satisfaction of degree equivalency requirements, if applicable, and the salary, including the salary increase component for that year. Any modification in the employee's salary will be reflected in a revised letter which will be issued as soon as possible.

Section 6. Temporary Faculty Appointments

Temporary faculty appointments are governed by Article X Sec.1 of the University Statutes. (See Appendix 1)

Section 7. Adjunct or Part-time Faculty Appointments

No appointments shall be made without the positive recommendation of the Department faculty out of which the adjunct or part-time faculty is appointed.

Section 8. Multi-year Appointments

A. Conditions

Non-tenure track faculty appointments may be made on a multi-year basis for the purpose of leave replacement, for replacement of a faculty member assigned to work on a grant, contract, or NIA, and for other short term needs.

B. Eligibility

Faculty who are eligible for multi-year appointments shall fulfill equivalent degree and background requirements for equivalent faculty positions. The percentage of multi-year appointments shall not exceed 8% of the total number of full-time faculty.

C. Review and Approval Process

Multi-year faculty appointments will be limited to a period not to exceed three (3) consecutive years. All multi-year appointments must be approved by the department and college and shall be renewable at the discretion of the hiring unit. The performance of faculty who hold multi-year appointments will be evaluated yearly according to the written criteria and standards specific to their appointment established at the time of hire or contractual renewal. Expectations will be established through consultation between the Dean and Department Chair.

Review processes beyond the annual review will be at the discretion of the academic college in which the faculty member is appointed and specified in writing at the time of hire or contract renewal.

D. Oversight

Within thirty (30) working days after the beginning of each academic term, the VCAA shall notify the Campus Senate Steering Committee of the multi-year appointments in existence that term and the reason for each.

CHART 1
INITIAL TERM APPOINTMENTS: REVIEW SCHEDULE

3 YEAR Q

YEAR:

1	
2	Tenure review
3	If denied tenure: terminal year

4 YEAR Q

YEAR:

1	
2	2 nd year review
3	Tenure review
4	If denied tenure: terminal year

5 YEAR Q

YEAR:

1	
2	2 nd year review
3	
4	Tenure Review
5	If denied tenure: terminal year

6 YEAR Q

YEAR:

1	
2	2 nd year review
3	
4	4 th year review
5	Tenure Review
6	If denied tenure: terminal year

ARTICLE 11
JOINT APPOINTMENTS

If jointly appointed to more than one Department, or equivalent unit, faculty members have the same status as members appointed to a single Department and enjoy all rights and responsibilities under this Policy. Joint appointments of currently employed faculty members must be approved by the Department, or units involved, the appropriate Deans, and the Vice Chancellor for Academic Affairs, and agreed to by the faculty member. The title for a joint appointment shall reflect the departments, units or areas of appointment.

A faculty member on joint appointment is accountable to each unit for the performance of those duties and responsibilities undertaken within that unit. All Campus personnel decisions for joint appointed faculty shall be conducted according to the procedures under this Policy except as provided in this Article. All Departments, or other equivalent units to which the faculty member is appointed shall make a recommendation and forward it to the candidate's personnel file and to the Dean of the College which has been designated as the faculty member's locus of appointment for personnel purposes. Non-Departmental units conducting personnel evaluation of joint-appointed faculty, such as the Institute for Legal, Legislative, and Policy Studies and the Center for State Policy and Leadership, shall submit personnel evaluations on the same schedule as Department-level reviews.

Upon the request of the faculty member, the departments, and/or units involved, or a Dean, a joint appointment may be reviewed to determine its continued appropriateness and be modified, as agreed upon by the faculty member, the departments, and/or units involved and the Campus, to meet faculty member or department, unit, Campus or University needs.

ARTICLE 12
PROBATIONARY CONTRACTS

Section 1. Probationary Contracts

A candidate for tenure at the University of Illinois at Springfield will have progressed through a three (3), four (4), five (5) or six (6) year period of regular performance evaluations and probationary contracts unless otherwise governed by the waiver provision Article 7 Sec. 5 of this Policy or Article X Sec. 1 of the University Statutes. The following chart (Chart 1) illustrates the tenure decision and retention decision evaluation and notification requirements for these candidates. The chart refers only to evaluation and review related to retention or tenure.

CHART 2
PROBATIONARY PERIODS OF SERVICE
AGREED UPON OR REQUIRED

	First	Second	Third	Fourth	Fifth	Sixth	Seventh
3 Years		Reappoint- ment Review Notice by May 1	Tenure Review Notice by May 1	First Year of Tenure or Terminal Year Contract			
4 Years		Reappoint- ment Review Notice by May 1		Tenure Review Notice by May 1	First Year of Tenure or Terminal Year Contract		
5 Years		Reappoint- ment Review Notice by May 1		Reappoint- ment Review Notice by May 1	Tenure Review Notice by May 1	First Year of Tenure or Terminal Year Contract	
6 Years		Reappoint- ment Review Notice by May 1		Reappoint- ment Review Notice by May 1		Tenure Review Notice by May 1	First Year of Tenure or Terminal Year Contract

ARTICLE 13

POST-TENURE REVIEW

Section 1. Purpose

Post-Tenure Review focuses on identifying faculty development opportunities for tenured faculty that mutually benefit the individual and the institution. The purpose of the review is to assist tenured faculty in improving their long-term performance in relation to career goals and department needs consistent with the principles of Academic Freedom and Tenure, Article X of the University *Statutes* and Due Process. The review should substantively examine what resources and support the faculty member may need for her or his professional development. The outcome of the post-tenure review process should be to recognize, reward, and enhance the performance of tenured faculty. To that end, the review will normally be supported by institutional resources which may be used for professional development or a change in professional direction.

Section 2. Review Schedule

In addition to the annual merit performance reviews, each tenured faculty member shall undertake a review of her or his professional development every seven years after tenure. Exceptions to the seven year schedule of review include faculty on sabbatical or leave who will be reviewed when they return; and faculty who have submitted to the administration a signed statement of intent to retire within 3 years after they are scheduled for post-tenure review.

Section 3. Post-Tenure Review Committee

The Dean of the faculty member under review will convene a Post-Tenure Review Committee (PTRC), composed of the following:

- A. A representative of each department in which the faculty member is cost-centered, selected by the department.
- B. One student, chosen by the primary Department Personnel Committee.
- C. Faculty member of the Post Tenure Review Committee Pool, chosen by the faculty member under review.
- D. A faculty member of the Post Tenure Review Committee Pool, chosen by the Vice Chancellor for Academic Affairs.

Section 4. Criteria

Faculty at UIS aspire to a record of continued excellence in teaching, and a cumulative level of high quality in the combined categories of scholarship and service as defined in Article 3, with at least satisfactory performance in both categories. The PTRC shall evaluate and recommend resources for faculty development in an effort to assist faculty in continued achievement of this level of performance.

The PTRC should acknowledge individual variation in career paths as well as different expectations in different disciplines and changing expectations at different stages of a faculty member's career.

Section 5. Materials To Be Considered

- A. The faculty member under review will submit the following materials to the Dean who will forward them to the PTRC:
 - 1. A current curriculum vita.
 - 2. Copies of all annual performance reports, and the recommendations of the Department Personnel Committee (if applicable), College (if applicable), and Dean for the period under review.
 - 3. A statement, not to exceed five (5) pages, which briefly describes his or her accomplishments in the areas of teaching, scholarship, and service for the period under review and which develops and explains professional goals for the next seven years. The faculty member may provide additional supporting documentation not to exceed five (5) pages.
- B. The faculty member should address the following questions in preparing his or her statement:
 - 1. What has been accomplished to her or his satisfaction during the review period? What has not been accomplished to her or his satisfaction during the review period?
 - 2. What are immediate and long-range goals, generally and specifically? Is a change in professional direction contemplated? How will the proposed goals maintain or improve long-term performance?
 - 3. How are the goals compatible with department, and institutional needs? Are they mutually beneficial to the faculty member and the institution? What specific institutional resources and support, including non-salary monies such as travel, contractual, student help, equipment, and NIAs, etc., are needed to implement the professional development plan?

Section 6. Process

- A. The review should be completed according to the Academic Personnel Calendar.
- B. The Dean will convene the Post-Tenure Review Committee (PTRC) for the purpose of electing a Chair and reviewing the materials submitted by the faculty member.
- C. After reviewing materials, the PTRC will meet with the faculty member to discuss the questions listed above (Section 5. B.) in a reflective dialogue and to informally explore what resources and support are needed to enhance professional development.

- D. After meeting with the faculty member, the PTRC will write a Post-Tenure Review Report which focuses on a positive, formative, and pro-active approach to enhancing professional development. The report will include an assessment of the faculty member's performance according to Section 4. Criteria and an individualized professional development plan which specifies the resources and support that the institution will make available to implement the development plan.
- E. The professional development plan will include:
 - 1. realistic goals and expectations for performance;
 - 2. specific activities to improve performance;
 - 3. commitment by the College to provide specific resources to support the plan
 - 4. time lines for the provision of the resources;
 - 5. methods for assessing achievement of the goals and expectations; and time lines for further review by the PTRC, if any, before seven years.
- F. The Dean will be responsible for ensuring that the College provides the resources agreed to in the professional development plan and that the PTRC conducts any further reviews in a timely fashion.
- G. The Chair of the PTRC will provide a copy of the report to the faculty member who will accept or reject it in writing within 15 working days of receiving it. The Chair of the PTRC will offer to meet with the faculty member and the Dean to discuss the report before formal acceptance or rejection.
- H. If the faculty member wishes to accept the report, she or he may attach written comments to it, and the PTRC will submit it and the faculty member's response, if any, to the department, Dean, Vice Chancellor for Academic Affairs, and the personnel file of the faculty member.
- I. If the faculty member wishes to reject the report, she or he must appeal under the procedures below within 15 working days after giving written notice of rejection. Before filing an appeal, the faculty member must meet with the Chair of the PTRC and the Dean to attempt to resolve matters.

Section 7. Appeals

- A. A faculty member may appeal any aspect of the individualized professional development plan except the allocation of College resources (covered in Subsection C. below) to the Campus Sabbatical Leave and Awards Committee (CSAC). Members of the CSAC who were members of the PTRC shall not participate in the appeal. For the purpose of deciding appeals, three faculty members of the CSAC, including at least one elected member, shall

serve as a hearing panel. The CSAC hearing panel shall decide the appeal within 20 working days.

- B. A faculty member may appeal the decision of the CSAC hearing panel to the VCAA. The decision of the VCAA shall be final. The VCAA shall decide the appeal within 15 working days.
- C. A faculty member may appeal the PTRC's allocation of College resources to the College Executive Committee. The decision of that Committee shall be final. The CEC shall decide the appeal within 20 working days.

ARTICLE 14
PROFESSOR EMERITUS STATUS

Section 1. General Considerations

The bestowal of Emeritus Status is recognition of the value the University places on the experience, knowledge, and ability of its retiring faculty. The Emeritus designation is regarded as an extraordinary title which is granted to those individuals who have made a significant contribution to campus. To encourage retiring faculty to remain a part of the University, to maintain their professional identity, and to continue to be productive members of the educational community, Emeritus Status shall be awarded to retiring faculty who meet the criteria in Section 2.

Section 2. Criteria for Awarding Emeritus Status

Faculty eligible for Emeritus status include: 1) those in the professorial ranks of associate professor and professor; 2) those with the modified ranks of research associate professor and research professor and clinical associate professor and clinical professor; and 3) Chancellors and Deans. Ordinarily, Emeritus status will not be granted to an individual who has served less than seven years. Exceptions to this may be considered for an individual who has made an outstanding contribution to the campus during a briefer period of service. Faculty who are awarded Emeritus status will retain their rank at the time of retirement followed by the designation “Emeritus”; administrators may retain their administrative title.

Section 3. Nomination/Appointment Processes

To nominate a retiring faculty member for Emeritus status, the individual’s immediate unit head, with the consent of the majority of the voting members of the unit or home department, should prepare a letter of justification with supporting documentation. The nomination should be reviewed by the Dean of the College, with final review and recommendation in all cases at the level of Provost and Vice Chancellor for Academic Affairs. The Provost’s affirmative recommendations will be submitted to the Chancellor, who in turn will send his/her recommendation to the Board of Trustees for approval.

The Campus Sabbatical and Awards Committee will review summary data on all nominations for Emeritus status by college annually to ensure that consistent campus standards are applied to each case. The Committee shall be advisory to the Provost. If CSAC notes any concerns about the process, the Chair of the committee shall notify the Chair of the Campus Senate and the Provost.

Section 4. Campus Rights and Privileges Associated With Emeritus Status

Emeritus faculty are entitled to the following privileges and campus services:

- A. Faculty Identification Card with privileges to use the campus facilities.

- B. Free parking on main campus parking lots under the same terms and conditions that apply to other faculty on campus.
- C. Participation in campus graduation ceremonies and processions with free use of graduate regalia.
- D. Campus mailing address listed in faculty directory and inclusion on a mailing list of institutional publications, unless otherwise requested by faculty.
- E. Campus e-mail address and inclusion in regular and special e-mail communications and notices to faculty and staff, as requested by the Emeritus faculty.
- F. Secured space on campus that includes at a minimum access to a phone, desk, filing cabinet, bookshelf, computer, and the internet for use in carrying out teaching, research, and/or service responsibilities conducted on behalf of the university.

Section 5. Relation to Campus Community

The Campus Administration shall provide an environment which encourages Emeritus faculty to continue to make contributions to the campus consistent with funding and the desire of the Emeritus faculty member.

ARTICLE 15
ACADEMIC FREEDOM

Academic Freedom is provided for under Academic Freedom and Tenure, Article X of the University Statutes. (See Appendix 1)

ARTICLE 16
SANCTION AND DISMISSAL PROCEDURES

Section 1. Sanction and Dismissal Procedures

A. Tenured and Tenure-Track Faculty

Sanction and dismissal procedures are provided for under Academic Freedom and Tenure, Article X of the University Statutes. (See Appendix 1)

B. Non Tenure-Track Faculty on Multi-Year Appointments

Article IX, Section 12 of the *University Statutes* states that members of the academic staff with multiple year appointments may be dismissed for cause (See Appendix 14)

Section 2. Severe Sanctions Other Than Dismissal for Cause Procedures

Attempts to impose severe sanctions shall be applied before the expiration of the term of appointment of a faculty member who is on definite or indefinite tenure shall comply with the procedures described in the following provisions of this section:

A. Confidentiality

The success of this policy depends in large part upon its ability to protect the confidentiality of all parties involved. The following procedures are to be implemented with the expectation that members of the campus community will respect the confidentiality of the process. It is a violation of this policy for those administering the policy to disclose information to those outside of the process. When a violation of confidence is charged, the complaining party can utilize any appropriate grievance resolution mechanisms available to them. A violation of the confidentiality of the parties involved or of the process is a basis for disciplinary action or sanctions by the appropriate administrator.

B. Attempts of Informal Settlement

The campus procedures will be initiated only after discussions are held between the faculty member and appropriate administrative officers looking toward a mutual settlement. The initiation or pendency of proceedings under this Section 6 shall not be deemed to prevent or delay the University or any other person from pursuing any other remedy available to such person against the faculty member for conduct allegedly violating University of Illinois Statutes, Article IX, Section 6(d).

C. Charges

Normally, a Dean will bring charges for severe sanctions less than dismissal to the Provost who must consult with the faculty members of the Senate Steering Committee concerning whether cause for the severe sanctions of a faculty member may exist. After such

consultation, the Provost shall determine whether severe sanctions proceedings should be instituted. Within twenty business days after the consultation with the Senate Steering Committee, the Provost or the Provost's designee will present the charges of severe sanctions in writing and will place them on file with the Chancellor's office. The statement shall be sufficiently specific to inform the faculty member of the nature and source of the charges and enable the faculty member to present a defense to them.

D. Notification

Within five business days after charges have been filed, the Chancellor's office shall provide a copy of the statement of the charges and a copy of Article IX, Section 6, of the *Statutes* and these procedures to the faculty member personally or mailed to the faculty member's last known post office address by registered mail.

E. Request for Hearing

Within ten business days after a copy of the statement of charges has been served, the faculty member may file with the Chancellor's office a request for a hearing before the Committee on Academic Freedom and Tenure; and within ten business days after filing such request, the faculty member shall file with the Chancellor's office a detailed written answer to the statement of grounds for severe sanctions. Within five business days, the Chancellor's office shall transmit the statement of charges, the request, and the answer for a hearing to the chair of the Committee on Academic Freedom and Tenure, and copies of the answer and request for a hearing to the Provost.

F. Notice of Hearing

Not less than fifteen days after the transmission of the charges, request for hearing and answer to the Chair of the Committee on Academic Freedom and Tenure, the Chancellor's office will simultaneously notify, either personally or by registered mail, the faculty member and the Provost of the time and place of the hearing. The hearing shall be not less than fifteen business days from the date of delivery or mailing of the notice of hearing.

G. Committee Requirements

No member of the committee shall sit in a case that involves a colleague of that committee member's department, college, or center nor shall a member sit in a case if the member has previously acted on another committee while it considered the pending matter. A majority of the members of the committee shall constitute a quorum for the conduct of the hearing, and the chair of the committee may appoint another member of the committee to preside over the hearing. If vacancies occur as many members as are necessary to constitute a quorum shall be appointed in accordance with the bylaws of the committee

H. Hearing

At the designated time and place, the Committee on Academic Freedom and Tenure shall hold a closed hearing on the charges. The hearing shall be conducted according to such rules as the committee may establish. The committee shall not be bound by technical rules of evidence, but all findings, conclusions, and recommendations of the committee shall be supported by, and be in accord with, substantial evidence on the record. The faculty member shall be entitled to be present at all sessions of the committee when evidence is being received and to be accompanied by an adviser or legal counsel of the faculty member's choice who may act as counsel. Likewise, the Provost or the Provost's designee, shall be entitled to be present at all sessions of the committee when evidence is being received and to be accompanied by legal counsel if the Provost desires legal counsel. Each party shall have the right, within reasonable limits, to call and question witnesses, to introduce documents and exhibits and, when all the evidence has been received, to argue in support of its position, either in person or by counsel. A full stenographic transcript shall be made of the hearing unless both parties agree to the making of a record in a briefer form.

I. Findings, Conclusions, and Recommendations

Following the conclusion of the hearing, the committee shall make its explicit findings of fact on each charge, its conclusions, and its recommendations for sanctions, if any, within ten business days. Committee recommendations against sanctions are final.

When misconduct is determined to have occurred, a severe sanction other than dismissal consists of suspension with or without salary (full or partial) for a period not to exceed one-half of the individual's normal appointment period. During the suspension period, health and retirement benefits shall be maintained (from UI Statutes, Article IX, Section 6e).

If the Committee recommends for sanctions, within five business days from receipt of these recommendations, each party may file a written statement setting forth objections and their grounds to these findings, conclusions, and recommendations. A copy of one party's objections shall be given to the other party. The committee shall forward the originals of the findings, conclusions, recommendations, and the hearing transcript to the Provost, with copies simultaneously transmitted to the faculty member. The Provost will direct the Dean to impose sanctions recommended by the committee and transmit a written statement of this decision to the faculty member within ten business days of receiving the committee's recommendations. The faculty member may file an appeal with the Chancellor within twenty business days following receipt of the Provost's decision to impose sanctions. This

appeal may encompass both substantive and procedural objections. The Chancellor's decision on the merits of the appeal is final.

J. Retaliatory Actions

It is a violation of this policy to retaliate against a person for instituting a complaint that is pursued under this policy, for assisting, participating, or cooperating in an investigation of same, or for defending against a complaint that is pursued under this policy. When retaliation is charged, the complaining party can utilize any appropriate grievance resolution mechanisms available to them. Retaliation is a basis for disciplinary action or sanctions by the appropriate administrator.

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APPENDIX 1

EXTRACTS FROM UNIVERSITY OF ILLINOIS *STATUTES*

<https://www.bot.uillinois.edu/governance/statutes/>

ARTICLE IX. ACADEMIC AND ADMINISTRATIVE STAFFS

Section 3. Appointments, Ranks, and Promotions of the Academic and Administrative Staff

Section 4. Principles Governing Employment of Academic and Administrative Staffs

Section 7. Leaves of Absence for Members of the Faculty

ARTICLE X. ACADEMIC FREEDOM AND TENURE

Section 1. Tenure of Academic Staff

Section 2. Academic Freedom

APPENDIX 2
AAUP STATEMENT ON PROFESSIONAL ETHICS

THE STATEMENT

- I. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.

- II. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

- III. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.

- IV. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption

or termination of their service, professors recognize the effect of their decision upon the department of the institution and give due notice of their intentions.

- V. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

APPENDIX 3
CAMPUS POLICY FOR TEAM TEACHING*

Team teaching may be justified for a number of pedagogical reasons, consistent with academic and productivity goals of the University.

More specifically, team teaching may be justified when:

- a. The course is intended to integrate different perspectives and disciplinary expertise of more than one (1) faculty member;
- b. Team teaching of the course is integral to curricular objectives of the Department and University (for example when one of the faculty involved needs significant mentoring to effectively teach the course);
- c. Projected and actual course enrollments are consistent with Department and University cost and productivity goals.

For the purposes of this policy, team teaching is defined to involve extensive classroom interaction of the participating faculty members throughout the semester. These provisions do not apply to classes in which professors meet sequentially with the class, to the co-teaching of approved multi-section courses (such as intersessions), or to instances where professors deliver occasional guest lectures. Typically, team teaching will involve two faculty members; three faculty shall be the upper limit.

On application from the participating faculty, Departments and other units with curricular responsibility may propose and justify team taught courses during the course scheduling process for review and approval by the appropriate Dean(s) and Vice Chancellor for Academic Affairs.

Team taught classes with less than ten (10) students per faculty member will be reviewed prior to a future offering of the course.

Full credit will be given to each faculty member teaching an approved team taught course the first time it is taught. Full credit for subsequent offering must be reviewed and approved by the Dean(s) and the Vice Chancellor for Academic Affairs following the procedures in three (3) above.

*Note: This policy deals with only those team taught courses for which full credit is being requested for all faculty involved. Team taught courses in which the course credit is divided among the teaching faculty will follow the standard course and scheduling approval process.

APPENDIX 4
CAMPUS GUIDELINES FOR NON-INSTRUCTIONAL ASSIGNMENTS

Assignments (NIAs) will be approved by the Campus Administration for the purposes stated above, subject to the following guidelines:

1. NIA proposals must include a careful description of the work to be undertaken, and include a timetable, work products, and suggested criteria for judging the assignment's success.
2. NIA proposals must be recommended by:
 - a. the faculty member's assigned Department;
 - b. the unit where assigned; and must be approved by:
 - i. the appropriate Dean(s); and
 - ii. the VCAA.
3. Before approving NIA proposals, the Deans and Vice Chancellor for Academic Affairs will insure that the teaching assignments of applying faculty members are properly covered. Other factors to be considered are the merits of the proposal's goals in meeting University priorities, the history of the faculty member's previous NIAs (including NIA reports), and the developmental needs of the faculty member as they relate to department and University needs and priorities.
4. Upon the cancellation of a class because of insufficient enrollment, an NIA assignment must be recommended by the College Dean for approval by the Vice Chancellor for Academic Affairs, with specific regard for the developmental needs of the College and the University.
5. Research and service NIAs in research centers and institutes and other offices of the University shall be consistent with the developmental objectives of these units. These units are acknowledged to have an approved personnel base, in some cases including faculty members assigned to the units, outside the provisions of these guidelines. To the degree possible, assignments associated with externally funded projects shall be supported by monies generated by those projects. When available and as needed, salary monies which are displaced by grant or contract funds will be made available to the relevant College for part time faculty and overload expenditures.
6. NIA projects shall be reported on by the faculty member and evaluated by the academic department of the faculty member, or the head of the unit in which the project was performed, with further review by the appropriate dean and the Vice Chancellor for Academic Affairs. The project shall be evaluated in accordance with the NIA proposal, i.e., does the work product(s) meet the criteria outlined in the proposal. The report and evaluation shall be added

to the personnel file of the faculty member for periodic personnel review process. Evaluation for department leadership shall be conducted under Article 9, Section 6C.

APPENDIX 5
CAMPUS POLICY FOR DETERMINING
APPROPRIATE CLASS SIZE

The following guidelines for establishing both minimum and maximum class size are hereby established. The guidelines reflect a balance between the competing goals of insuring adequate course enrollments, productivity, and efficiency and of fostering excellence in teaching by limiting the size of some classes to meet department curricular goals and instructional needs in individual courses.

Determination of Class Size for Individual Courses

During the Spring semester of each year for implementation the following year, academic departments and other similar units may submit a written request to the Dean of the College asking that limits be placed on the number of students enrolling in individual courses. The decision as to appropriate class limits for a particular course will be made by the Dean of the College following consultation with the department and consultation with the Vice Chancellor for Academic Affairs. In the event of disagreement between the Department and Dean, the Vice Chancellor for Academic Affairs will decide the issue. Factors to be considered in assessing the appropriateness of limiting class enrollments shall include:

1. Constraints imposed by the seating capacity of a room, space available in a laboratory or studio, and equipment limitations and accreditation requirements. An effort should be made on the part of the Dean to locate suitable space or equipment for the course before granting the request on this basis.
2. Special characteristics of the course such as teaching methods used and competencies that students are expected to attain. For example, courses taught in a lecture format can be expected to accommodate more students than a graduate seminar or a course requiring regular group process or individual attention. A course which requires some writing exercises can be larger than one that involves intensive writing throughout the course or voluminous portfolios. Before determining an appropriate enrollment limit for a course based upon these criteria, the Dean should review the course syllabus, course requirements, and methods of student evaluation employed. Undergraduate courses will not normally be limited to fewer than fifteen (15) students. Graduate courses will not normally be limited to fewer than twelve (12) students.
3. Teaching resources available for the class, including the number of faculty assigned to the class, the presence of a teaching assistant, or guest participants.

In instances in which course enrollment limits have been established, the appropriate Dean shall ensure that necessary steps are taken to meet students' needs, including: scheduling of sufficient sections, opening up additional sections, and advising students regarding other curricular options.

Course Capacity Exceptions

Occasionally, it may prove necessary to override a course capacity limit for a specific semester. A course instructor may choose to admit students above a designated course cap in her/his course. A decision to admit students above a designated course cap which is made by the department chair shall be in consultation with the course instructor. In the event of a disagreement between the department chair and the course instructor regarding the overriding of a course cap, the final determination shall be made by the Dean.

Course Cancellation

Courses taught by an individual faculty member will normally enroll at least six (6) students in fall or spring semesters and ten (10) students in the summer term. Courses which do not meet enrollment expectations or satisfy instructional resource management guidelines in effect,* with the exception of those which meet the concerns specified below, may be canceled.

By the first day of class each term, classes with less than the specified number of students will be examined for possible course cancellation. The decision as to whether to cancel a particular class will be made by the Dean of the College following consultation with the department and consultation with the Vice Chancellor for Academic Affairs. In the event of disagreement between the Department and Dean, the Vice Chancellor for Academic Affairs will decide the issue. The decision regarding cancellation will be based on four (4) factors:

1. Whether cancellation of the course will impair the ability of the students to progress toward completion of their degree or certification in a timely manner. Inquiry should focus on whether the course is a required course as opposed to an elective and on how frequently the course is offered.
2. The possibility that the needs of students can be accommodated through alternative means such as enrollment in a related course in the department or in another department, individualized instruction, routine waiver of the requirement, etc.
3. The workload and total enrollment of the faculty member during the given term. The faculty member's average enrollment in the courses taught should total the minimum number required of an individual course.
4. Course capacity limits established by accreditation requirements.

Upon making a decision to cancel a class, the Dean will structure one or more responsibilities to which the faculty member can be assigned and will work to identify suitable alternatives for the students in the canceled course. Summer courses canceled due to low enrollment will not lead to alternative workload assignments.

Team taught classes are expected to attain an enrollment equal to the required minimum for the course multiplied by the number of faculty teaching the course. When the appropriate number is not reached, the workload and/or compensation of the faculty will be adjusted to reflect the proportion of students who are enrolled.

* Instructional resource management guidelines, effective 2/15/10, may be located on the Academic Affairs website under the following link: [http://www.uis.edu/academicaffairs/wp-content/uploads/sites/21/2013/04/](http://www.uis.edu/academicaffairs/wp-content/uploads/sites/21/2013/04/Instructionalresource-management-guiding-principles-021510.pdf)
[*Instructionalresource-management-guiding-principles-021510.pdf*](http://www.uis.edu/academicaffairs/wp-content/uploads/sites/21/2013/04/Instructionalresource-management-guiding-principles-021510.pdf)

APPENDIX 6
UNIVERSITY NONDISCRIMINATION STATEMENT

The commitment of the University of Illinois to the most fundamental principles of academic freedom, equality of opportunity, and human dignity requires that decisions involving students and employees be based on individual merit and be free from invidious discrimination in all its forms.

The University of Illinois will not engage in discrimination or harassment against any person because of race, color, religion, sex, national origin, ancestry, age, order of protection status, genetic information, marital status, disability, sexual orientation, including gender identity, unfavorable discharge from the military or status as a protected veteran and will comply with all federal and state nondiscrimination, equal opportunity and affirmative action laws, orders, and regulations. This nondiscrimination policy applies to admissions, employment, access to and treatment in the University programs and activities.

Revised: June 24, 2010

The Collective Bargaining Agreement negotiated between the University of Illinois and the UIS United Faculty and effective August 16, 2017 contains an additional nondiscrimination statement applicable to bargaining unit members.

APPENDIX 7
CAMPUS GUIDELINES FOR THE CONSIDERATION OF
MARKET SALARY ADJUSTMENTS TO FACULTY

A faculty member seeking a salary adjustment based upon external market factors shall follow one (1) of the two (2) procedures outlined below

A. Procedures for a Faculty Member with an Offer

1. At the time an offer is made, the faculty member shall submit a request for a market adjustment in writing to the Dean and provide a written copy of the offer from the other institution.
2. The Dean of the College in which the locus of tenure of the faculty member resides will assess the faculty member's request and consult with the faculty member's academic department(s). The Dean will transmit the request, supporting document indicative of the current market conditions in the faculty member's academic field, and his/her recommendation in writing to the VCAA and the Chair of the Faculty Advisory Committee.
3. The VCAA, Dean, and Chair of the Faculty Advisory Committee will meet to discuss the proposed market adjustment and reach agreement about the appropriateness of a market adjustment and the amount, if any, to be awarded.
4. The decision will be communicated to the faculty member by the Dean.

APPENDIX 8

FACULTY GRIEVANCE RESOLUTION PROCEDURES*

I. PURPOSE

These Faculty Grievance Resolution Procedures define an administrative process through which faculty may seek resolution of complaints or grievances. The Procedures are grounded on the following principles:

- Fairness of process and neutrality of personnel.
- Full notice of what can or will happen and when so that there is predictability and certainty for all concerned.
- Expedition without loss of opportunity to be heard and adequate time to prepare.
- Opportunity to move forward without having to exhaust unnecessary stages.
- Opportunity to resolve matters at the lowest possible level.
- Provisions for Confidentiality, Representation, Assistance and a Record of the Grievance.
- Ability to pursue rights externally.

Understanding that dispute resolution, in a mutually acceptable manner, is the goal of the grievance process.

II. SCOPE

- A. **Coverage:** These procedures apply to: 1) faculty holding tenure or on a tenure track at the rank of professor, associate professor, or assistant professor and 2) non-tenure track faculty at the rank of instructor or above, including those holding clinical or visiting appointments. All disputes which arise from an employment relationship at UIS are subject to resolution through these Procedures except those excluded below.
- B. **Exclusions:** These procedures do not apply to: 1) those appointed as part-time faculty or those who have adjunct faculty titles, 2) faculty members holding administrative appointments above the rank of dean and 3) faculty members holding university central administrative appointments.

*Alleged procedural violations occurring during the reappointment or tenure review process may also be addressed using a Procedure Review Committee review process created by the Chancellor's University-Wide Mediation Project memo dated May 16, 2017. ("Procedure Review Committee Memo," <http://www.uis.edu/ombuds/grievancepolicies/>).

These procedures may not be used for: 1) deciding non-procedural issues relating to faculty reappointment, sabbaticals and awards, promotion and tenure; 2) reviewing any decision by any System or University administrator or properly constituted board or committee relating to allocation of resources to support any unit's projects or programs; 3) the adoption of any policy appropriately promulgated by the System or University Administration or the System or University governance system; and 4) dismissal before the expiration of the term of appointment of a faculty member who is on definite tenure or of a faculty member who is on indefinite tenure: any such dismissal must be handled under the provisions of Article X of the University Statutes.¹

- C. **Allegations of Discrimination:** Complaints or grievances of violations of the University's Policy on Non-Discrimination may be brought under these Grievance Resolution Procedures or may be referred to the Campus Affirmative Action Officer for investigation. Any complaint or grievance alleging sexual harassment brought under these Grievance Resolution Procedures must be also reported to the Campus Affirmative Action Officer by the Ombudsperson.

III. DEFINITIONS

Faculty Grievance Hearing Panel: the Faculty Grievance Hearing Panel is a group of faculty members and one hearing officer designated to hear the grievance presented at the formal hearing stage under these Procedures.

Grievance: a Grievance is a written statement setting forth a problem being submitted for action under these Procedures.

Grievant: a Grievant is someone who has filed a formal written request for mediation or other higher level dispute resolution process.

Hearing Officer: a Hearing Officer is an independent third-party neutral, not an employee of the University, who conducts either advisory or formal grievance hearings.²

¹ This subsection reflects the terms of Article X of the University Statutes. "Definite tenure" means having a contract of a specific limited term, e.g., during one's probationary status or a non-tenure track position with an annual appointment; "indefinite tenure" means having an expectation of continued indefinite employment, that is, one's status after having been granted tenure.

² Hearing Officers will be selected from the rosters of the IELRB, IPLRB, FMCA or AAA.

Mediator: a Mediator is a trained, neutral person whose function is to help disputing parties analyze their respective positions, explore alternative and creative solutions and work out a mutually acceptable resolution.

Ombudsperson: an Ombudsperson is a non-decision making individual whose role is to assure interested parties that the University provides fair treatment when they have grievances or complaints related to their working conditions and to serve as an information resource and repository for these dispute resolution processes.

Remedy: a Remedy is a choice of action which could be used to resolve a given matter.

Respondent: a Respondent is the individual or representative responding to a preliminary inquiry or written grievance.

IV. GENERAL PROVISIONS

- A. An eligible employee shall be allowed reasonable time away from regular duties consistent with job responsibilities or operational needs to prepare for and attend meetings related to the use of the Faculty Grievance Resolution Procedure.
- B. No person shall use or threaten to use his/her official authority to influence in any manner or to discourage the use of this Procedure, nor shall any reprisal or retaliation result to any employee for use of or participation in the Faculty Grievance Resolution Procedure.
- C. Dispute Resolution material shall not become a part of or be retained in a faculty member's official Personnel File unless submitted to the file by the faculty member him/herself; however, the Administration may maintain other files necessary for effective administration.
- D. The time limits specified herein may be extended by agreement of both parties at any stage of these Procedures.
- E. At any point in any stage of these Procedures, prior to the issuance of a final binding decision, the parties may agree to stop the proceedings in order to negotiate or mediate a resolution. If such negotiation or mediation is unsuccessful, the proceedings continue at the point at which they were stopped.
- F. All results of any and all processes included herein shall be consistent with the University Statutes, General Rules, policies and regulations of the University of Illinois and of the campus of UIS.
- G. The Advisory hearing and the Formal Panel hearing provided for in these Procedures are available only for matters for which a remedy can be granted.

- H. All references to days are to working days unless stated otherwise. Calculations of time under these procedures do not include days when the University is closed or days when the faculty member is not on contract.
- I. All information and documents disclosed under these Procedures will be treated confidentially to the extent allowed by law.
- J. At any stage in these procedures, the faculty member may consult with the Ombudsperson for counsel and advice about the process and procedures.
- K. Federal or state rules of evidence and civil procedure do not apply to these Procedures.
- L. The Provost, the Chair of the Campus Senate and the Chair of the Faculty Advisory Committee shall jointly appoint eighteen (18) tenured faculty members, to serve staggered three (3) year terms as a pool of potential Hearing Panel members.
- M. If the University develops and implements a university-wide Mediation Project, faculty members may elect to use that process.

V. PROBLEM IDENTIFICATION AND REFERRAL OPTIONS:

A faculty member who believes he or she has a problem which could fall within these Procedures shall discuss the matter with the Ombudsperson to: a) clarify the nature of the problem and determine whether it can be addressed through these Procedures, and b) explore the various procedural options available under these Procedures, how they work, the time lines for each, and the possible remedies available under each. The faculty member may elect which dispute resolution options to pursue. Starting at the lowest level for conflict resolution is encouraged but is not required.

VI. INFORMAL RESOLUTION:

The Ombudsperson will use the best efforts of his or her office to assist in the informal resolution of the matter. No one must accept the Ombudsperson's suggestions. The Ombudsperson's determination of whether his or her office will continue informal resolution efforts is final. Through this point, a written statement of the problem is not required.

VII. MEDIATION

In the mediation process, a dispute is viewed as a problem to be solved, not a fight to be won. The process is facilitated by an impartial mediator who facilitates a voluntary resolution satisfactory to the disputing parties. Effective mediation results in a written statement signed by the parties setting forth in positive terms the actions each will take. Parties may only agree to resolutions over

which they have authority. If the parties do not reach agreement, the Grievant may pursue other options under this policy.

- A. To initiate mediation, within 60 calendar days from the event on which he/she knew or should have known a problem exists, the Grievant shall submit a written statement to the Ombudsperson setting forth the problem and requesting mediation. The written statement of the problem constitutes the grievance. The Ombudsperson may assist in the drafting of the grievance. The grievance and the request to agree to mediate the grievance shall be forwarded to the other party for a response. The Respondent shall have 10 days from receipt of the copy of the grievance to agree or decline to mediate.
- B. Both parties must agree to mediate a problem. If informal resolution procedures have not been used, the Ombudsperson may suggest, or the parties may agree, to do so before continuing under this section. If the informal resolution procedures are in process, the parties and the Ombudsperson may agree to continue them and to expand the time limits in this section before continuing under this section.
- C. Upon agreement of the parties to mediate, a mediator shall be selected from a pool of mediators. This pool of potential mediators shall be composed of active or retired employees who have an interest in and have been trained as mediators in this process. If the parties believe that two mediators would be better than one, they may so agree. The use of an outside mediator, whose services are paid for by the University, may be granted by the Chancellor in extraordinary circumstances upon recommendation by the Ombudsperson.
- D. The parties have the right to choose a mediator from lists submitted by the Ombudsperson within ten days of receipt by the Ombudsperson of the Respondent's agreement to mediate. If none is chosen by the parties within those ten days, the Ombudsperson can appoint a mediator.
- E. The mediator shall: 1) explain the mediation process to the parties and obtain their agreement to the process, 2) help the parties to understand the best and worst alternatives to a negotiated settlement of their dispute so that they understand the benefits of a mutually negotiated settlement, 3) clarify the areas of disagreement, 4) identify and recognize areas of agreement and accommodation between the parties, 5) reduce to writing any agreements reached by the parties, and 6) obtain the parties' signatures to the written agreement.
- F. If, once the process starts, the parties agree that a different mediator may better serve their needs, they may choose an alternate. This option may be exercised only one time.
- G. If the parties have not concluded mediation or reached agreement at the end of 15 days from the first mediation session, the mediation will be considered to be at impasse and closed. The Grievant may decide to pursue the matter further under these Procedures. Once impasse is

reached and mediation ended, the Grievant has 15 days within which to file a request for an Advisory Hearing under Section VIII or a Formal Hearing under Section IX.

VIII. ADVISORY HEARING

The Advisory Hearing is a hearing at which the parties give summary presentations of their best cases before a jointly selected neutral Hearing Officer. The purpose of the Advisory Hearing is to encourage settlement.

- A. To initiate an Advisory Hearing, within 60 calendar days from the event on which he/she knew or should have known a problem exists, or within 15 days of impasse having been reached after Mediation under Section VII, or within 15 days of a request for Mediation under Section VII having been withdrawn, whichever is latest, the Grievant shall submit a written statement to the Ombudsperson requesting an Advisory Hearing and setting forth the problem if not done previously under Section VII. The grievance, if not previously provided under Section VII, shall be forwarded to the other party. Respondent shall have 10 days to respond.
- B. After receipt of the response, the Ombudsperson shall select from the pool of potential Hearing Officers one person to serve as the Hearing Officer. A person who serves as a Hearing Officer at this stage shall be disqualified from serving or appearing in the same matter at the Formal Hearing Panel stage under Section IX.
- C. The hearing shall be held at a time and date mutually agreed to by the parties and the Hearing Officer. All hearings will be conducted in Sangamon County, Illinois, unless the parties agree otherwise. If there is a dispute as to the appropriate date, time or site for the hearing, the parties will submit their requests to the Hearing Office who shall make a final determination. The parties' needs for time for preparation shall be taken into consideration in establishing the hearing date.
- D. The Hearing Officer runs the proceeding in a quasi-judicial manner, including asking questions and looking at documents, except he/she does not render a final decision. This hearing is flexible and informal, but the Hearing Officer has the final authority to decide how to conduct the Advisory Hearing. No record of the hearing shall be made.
- E. After assessing the strengths and weaknesses of each side's case, the Hearing Officer will indicate to the parties what a likely outcome and decision would be if the matter went to a formal hearing before him or her. Within 10 days of the close of the hearing, the Hearing Officer's shall issue an Advisory Recommendation to the parties with a copy submitted to and maintained by the Ombudsperson. The Advisory Recommendation will include only a written

summary of the Hearing Officer's recommendation of how the matter should be resolved, including a possible remedy.

- F. After consideration of the Advisory Recommendation, the parties may: 1) agree to accept the advisory recommendation as binding; 2) reach settlement themselves; 3) agree to select a mediator to mediate under these Procedures, or 4) agree to ask the Hearing Officer to mediate under these Procedures.
- G. If the parties do not agree, the Grievant may request a Formal Hearing under Section IX within 15 days of the issuance of the Advisory Recommendation.

IX. FORMAL HEARING BEFORE THE FACULTY GRIEVANCE RESOLUTION PANEL:

A. Establishing the Formal Hearing

1. To initiate a Formal Hearing, within 60 calendar days from the event on which he/she knew or should have known a problem exists, or within 15 days of reaching impasse having been reached in Mediation under Section VII, or within 15 days of an Advisory Recommendation having been issued under Section VIII, whichever is latest, the Grievant shall submit a written statement requesting a Formal Hearing and setting forth the problem if not done under previous stages of these procedures. The grievance, if not previously provided under Section VII or VIII, shall be forwarded to the other party. Respondent shall have 10 days to respond.
2. Upon receipt of the response, the Ombudsperson shall check with members of the pool for availability and potential disqualifications. Any member of the pool who believes he/she is not disinterested in the case at hand shall disqualify him/herself. The Ombudsperson shall submit a list of 9 names from the remaining members of the pool to the parties who shall alternately strike names until 5 remain. Parties shall flip a coin to determine who shall strike first. If, for unforeseen reasons, a panel member is appointed but unable to serve at the hearing, the Ombudsperson shall appoint a replacement.
3. A Faculty Grievance Hearing Panel consists of five panel members, none of whom shall have a direct interest in the outcome of the matter, selected as above, and a Hearing Officer.
4. The hearing is closed to the public, unless an exception has been agreed to by the parties. The hearing shall be held at a time and date mutually agreed to by the parties and the Hearing Officer. All hearings will be conducted in Sangamon County, Illinois, unless the parties agree otherwise. If there is a dispute as to the appropriate date, time or site for the

hearing, the parties will submit their requests to the Hearing Office who shall make a final determination.

5. All University employees are expected to appear and offer testimony at any University administrative hearing to which they are called as a witness by either party to the dispute, unless the Hearing Officer grants an exception.

B. Conducting the Hearing

1. The authority and responsibility for conducting the hearing is that of the Hearing Officer. The goal is that sufficient information and material be presented by both sides so that the Hearing Panel is fully informed in order to make a fair and just determination as to the outcome and the appropriate remedy. The function of the Hearing Officer is to conduct the hearing in such a way as to ensure that this happens and that during the course of the hearing each party has full opportunity to present evidence, cross examine witnesses and make argument.
2. In the event of a panel member's unavailability or disqualification after the hearing has started, the Hearing Officer may continue the hearing as long as at least three panelists remain.
3. An audio tape recording shall be made by the Hearing Officer. Either party may ask for a copy of the recording at his or her own expense after the Hearing Panel's decision has been rendered. The Hearing Officer may grant exceptions to this time limitation. Video tape recording is not permitted.
4. At least 3 days prior to the formal hearing, the parties shall exchange and provide to the Hearing Officer: a) written statements summarizing the issues in the case, b) lists of proposed witnesses and c) copies of all documents which they intend to present at the hearing.
5. The Grievant, the Respondent, and witnesses appearing at the hearing shall give testimony under oath or affirmation and be questioned regarding their knowledge. At the beginning of the hearing, either party may ask that all witnesses be excluded from the hearing room prior to their testimony. The parties have the right to be present in the hearing at all times.
6. The Hearing Officer may impose reasonable restrictions on the participants necessary to assure the orderly presentation and resolution of the dispute.
7. During the hearing, the panel members may request that the Hearing Officer pose questions and request demonstrations, documents, or other evidence thought to be pertinent.

8. Each party may be represented by a person of his or her own choosing who may or may not be an attorney. The University is not responsible for any cost or expense incurred by the employee in consulting or engaging a lawyer or other representative in relation to the use of this Grievance Resolution Procedure. Each party is responsible for his or her own costs, including legal fees, incurred in connection with the hearing. The fees and expenses of the Hearing Officer shall be borne by the University.

C. Deliberating and Issuing a Decision

1. Subsequent to the Hearing, the Panel will meet with the Hearing Officer and deliberate on the evidence presented at the hearing. The Hearing Officer may assist the panel in its deliberations.
2. At the conclusion of the panel's deliberation, the majority of the Panel shall indicate what their decision is. The Panel's findings and conclusions shall be based on the testimony and evidence admitted at the hearing. The Panel's decision shall be recorded in writing drafted by the Hearing Officer. The decision must be signed by a majority of the panel. If there is a minority dissenting opinion that too shall be recorded in writing by the Hearing Officer and signed by the minority. The decision shall include, but is not limited to, the rationale for the decision, indication that it is consistent with the evidence, and the panel's recommendations for action. The Hearing Officer assists the Panel in developing findings and recommendations during deliberation and writes the decision but does not vote on the final decision itself.
3. The decision shall be issued within 25 days of the closing of the hearing. The Hearing Officer will submit the Panel's decision to the Chancellor with copies to the Parties and the Ombudsperson.

X. THE CHANCELLOR

At the conclusion of the hearing, the Chancellor will receive the written Panel Decision of findings, conclusions, and recommendations. The decision of the Panel shall be final and binding on the parties unless the Chancellor, for good cause, modifies or rejects the decision, in whole or in part, within 20 days.

- A. The Chancellor's decision to reject or modify the Panel Decision shall be in writing and include a statement of the reasons for rejection or modification, and, if modified, how the remedies shall be changed, if at all, and the rationale for such changes. The Chancellor may direct further investigation and instruct the Panel to conduct a further hearing before rendering his/her decision.

- B. The Chancellor's written decision, which shall be mailed to the faculty member at his or her last known mailing address, also serves as a directive for any action necessary for compliance with the decision.
- C. The decision of the Chancellor is final and concludes the internal Faculty Grievance Procedure.

APPENDIX 9
LIBRARY FACULTY TENURE GUIDELINES

TEACHING:

As with all other faculty, teaching is the core activity for Library faculty; the following modalities are involved:

1. **Information Desk** – Each Library faculty member spends an amount of time at the Information Desk equivalent to classroom teaching hours for other faculty; this includes evening and weekend schedules. Here, individualized instruction in a consultative framework occurs for a wide variety of information needs.
Information Desk activity is carried out in a visible, results-oriented forum where the existence of significant deficits over time are detectable by other faculty and figure in subsequent personnel-related judgments. In 1995 and 1997 the Wisconsin-Ohio Reference Evaluation Survey was used by Library Program to evaluate teaching at the Information Desk. The program may use this instrument again in the future. The Wisconsin-Ohio Reference Evaluation Survey is the only externally validated instrument for Information Desk style instruction currently available.
2. **Workshops/Bibliographic Instruction** – Library faculty teach course-centered modules of various types at the request of instructors. The librarians developed a standardized formal evaluation process to document workshops. The Library Dean's office administers this teaching evaluation in a manner similar to that employed for other teaching evaluations.
3. **Credit-Bearing Courses** – Faculty teach (in rotation) UNI 401, Library Research Methods, and occasionally participate in team-teaching or solo teaching of other disciplinary courses such as WMS 402. The standard course evaluation process is employed. Teaching credit courses is usually in addition to the official contractual workload for Library faculty.
4. **Individual Instruction/Research Consultation/Advising** – Faculty spend significant time working with students, staff, and faculty in private consultations relating to coursework, projects, and long-term research. Library faculty calendars and personal records supplemented with letters or other forms of acknowledgement document this teaching activity. Library faculty advise students by membership on LIS undergraduate or LNT graduate committees and occasionally advise students in other departments. Student degree proposals and letters might also be used to document these teaching activities.
5. **Independent Study/Internships/Tutorials** – On request, Library faculty teach and supervise formal individualized instruction. Student contracts and course evaluation forms are often the

main form of documentation. Letters summarizing the outcome might also be used to document these activities.

SCHOLARSHIP

Activities relating to scholarship may take several forms for Library faculty, as consistent with the adaptation of the 'Boyer Criteria' in Article 3.

Scholarship of Discovery – Library faculty activities here are similar to those for all other faculty, i.e. the production and dissemination of research through publications or other venues. These might focus on the enhancement of library services as well as other topics. Scholarship of discovery may be published as reports or studies for professional associations, such as the American Library Association or its divisions.

Scholarship of Integration – Many crucial Library faculty activities are in this category. Some specific examples:

1. The production of guides to resources, bibliographies, or bibliographic essays on multi-faceted subjects or inter-disciplinary topics, which facilitate integrative coursework and research. These guides are widely distributed and utilized.
2. Collection development and selection activities make connections among library science, bibliography, and other disciplines in order to create a well-balanced and useful library of resources. Library faculty document and reflect upon the outcomes of collection development in a variety of formats. For example, the development of a book and video collection about strategic management supports and informs campus instruction and research in management and public administration and other subjects. A report documenting the outcomes of this collection building effort could be written by the appropriate library faculty and used in campus planning, accreditation applications, and assessment activities.
3. The development of materials or training modules that assist practitioners. For example, the Foundation Center Manual integrates knowledge of the philanthropic sector, grantwriting, and the research process and both assists and informs grant seekers and community arts management students.

Scholarship of Application:

1. Library faculty study and document patron information-seeking behavior or the use of Library resources.
2. The design of interfaces and content for electronic resources (including the World Wide Web), which guide and facilitate research. This is a critically important and visible activity. See <http://library.uis.edu>

3. Other applied research.

Scholarship of Teaching:

1. Library faculty develop workshops or seminars designed for other information providers, which enhance skills or knowledge of library services and instructional techniques.
2. Library faculty write book or journal reviews relating to the enhancement of instructional skills.
3. Library faculty study faculty, student, and other patrons learning behavior and document and reflect upon learning outcomes.

SERVICE:

Contributions to the University:

1. Service as Library Department Chair has significant operational responsibilities including oversight of the Department's graduate assistant and two support staff.
2. Each Library faculty member has ongoing liaison responsibility for the extension of various services to several academic departments. Library faculty also are operational liaisons with internal library departments such as Archives or Circulation to facilitate smooth operations and resolve policy and process issues.
3. The Coordinator for Collection Development performs very extensive work in shaping the extent and focus of collection development within a changing, complex fiscal environment. This includes management of a book approval program, contacts with major vendors or consortia, and close budgetary monitoring. These activities improve the cultural and educational climate of UIS, as do the collection development activities of other Library faculty. Library faculty accomplish collection development activities as departmental liaisons to support the scholarship and teaching activities of other faculty.
4. All Library faculty support various UIS academic and administrative units through data-gathering, preparation for grant writing, providing direct support for ADA-related services, contributing to accreditation reports, working with student organizations, and other activities.
5. Library faculty serve on numerous internal, campus-wide and university committees, and governance entities as do other faculty.

Contributions to the Discipline:

Library faculty contributions are similar to other faculty in this category. Library faculty support organizational or departmental efforts in professional organizations. These include the American Library Association (ALA), the Association of College and Research Libraries (ACRL), and state or regional organizations. Involvement with consortia like the Illinois Library Computer Systems Organization (ILCSO) or the Cooperative Collection Management Program (CCMP) directly

enhance information services provided through the library and often have a significant positive financial impact as well.

Contributions to the External Community:

1. Library faculty assist nonprofit organizations through the outreach activities of the Foundation Center or through other supportive activities.
2. Library faculty work with individuals, K-12 schools, and organizations in the regional community on diverse information needs, which fall more into the “service” category rather than being a teaching activity. For example, several high school groups visit the library each semester for brief orientations followed by hands-on research.
3. Other service to the community.

APPENDIX 10
UNIVERSITY OF ILLINOIS SPRINGFIELD
PORTFOLIO GUIDELINES³

I. Purpose and Background

Over the years, UIS faculty personnel committees and administrators alike have expressed concern about applications and materials prepared by faculty for use in personnel decisions. These range from the qualitative—lack of focus, lack of a coherent philosophy of teaching, scholarship and service, etc. —to the quantitative—tubs of supplemental documents that were overburdening review committees, staff, and the faculty members under review who feared they had to keep up with their colleagues who were inundating review committees with more and more materials.

At the urging of the Tenure Review Committee, the Personnel Policies Committee of the campus senate began investigating alternative approaches to faculty personnel decisions and materials. We are adopting the use of faculty portfolios, a widely accepted practice at many colleges and universities. These guidelines provide specific and concrete help for faculty members undergoing review.

A portfolio is a factual description of a faculty member’s strengths and accomplishments. It includes documents and materials that collectively suggest the scope and quality of performance. **The portfolio is not an exhaustive compilation of all of the documents and materials that bear on performance.** Instead, it presents selected information on activities and solid evidence of their effectiveness with **brevity and clarity.**

II. Limits

Materials shall not exceed the following limits:

- second year review: 10 page narrative
- fourth year review: 20 page narrative
- tenure review: 30 page narrative
- promotion review: 30 page narrative
- clinical/research promotion: 30 page narrative

³ Much of the framework and language for these guidelines come from Kennesaw State University in (metro Atlanta) Georgia.

III. Application Narrative Document (single spaced, 10-12 point type)

The application narrative is a self-evaluative summary that reviews and interprets your accomplishments during the period under consideration in the context of the standards for the personnel decision in question. You should organize the application narrative into three major sections:⁴

1. Teaching;
2. Scholarship; and
3. Service

Producing a well-documented application narrative description of your philosophy, goals, strategies, innovations, assessments, improvements, and professional growth for each of the three areas of teaching, scholarship, and service is the first step in documenting your professional accomplishments.

The narrative document is your application for tenure, reappointment or promotion and **MUST** be placed in your personnel file in the provost's office. Your narrative document **MUST** become part of your permanent file. A current vita must be included as an appendix to the application narrative. A copy of the narrative document should be submitted to your Dean.

A clearly articulated philosophy of teaching, scholarship, and service will communicate the personal values, beliefs, and goals underlying your activities in and across these areas. It is not simply a description of your responsibilities in each area. The foundation of your philosophy should be an answer to the question: "Why do I teach, engage in scholarship, and engage in service?" For more details on developing your philosophy of teaching, scholarship and service, see the suggestions by Goodyear and Allchin (1998) at the end of this document.

Most importantly, you should write the application narrative to demonstrate that you meet the standards appropriate to the particular personnel decision:

- second and fourth year reviews, “effective performance and accomplishment” which indicates “significant progress toward becoming a high quality faculty member.” (Faculty Personnel Policies Handbook, Article 5, Section 2);
- tenure, that you are currently achieving the expectations of tenured faculty (Faculty Personnel Policies Handbook, Article 7, Section 2); promotion, the expectations for the beginning stage of the advanced rank for which you are being considered (Faculty Personnel Policies Handbook, Article 6).

⁴ Non-tenure track faculty should follow these guidelines as applicable to her/his assigned responsibilities.

- clinical/research promotion, excellence in the performance of her/his responsibilities based upon the expectations established at the time of hire or contract renewal (Faculty Personnel Policy, Article 6. Section 5).

Your application narrative should specifically address the balance of scholarship and service, especially if you are emphasizing one as an area of strength. Some faculty will have strong records in all three areas and should present their cases accordingly. When the third is not an area of emphasis, you should address the adequacy of performance in that area.

You are responsible for noting instances where a teaching, scholarly, or service endeavor described in their narrative was a collaborative effort with another colleague or student. Further, you are responsible for ensuring the factual accuracy and appropriate acknowledgment of your own level of contribution for any collaborative teaching, scholarly, and/or service activities included in the narrative.

IV. Portfolio (For Reappointment, Tenure, and Promotion)

Having articulated your philosophy of teaching, scholarship, and service, you must link that to documented examples of the activities and practices that embody and exemplify your philosophy. This is the portfolio.

The portfolio should contain only the most important evidence that supports your case for reappointment, tenure, or promotion. You should directly link the documentation you put in the portfolio to the application narrative through references in the narrative's text.

You should organize the portfolio into three tabbed sections of a notebook corresponding to the three principal areas of review: 1) Teaching; 2) Scholarship; and 3) Service. Paginate the documentation in each section; the first page of each section should be a table of contents of the documentation for that section.

Each section of the portfolio should contain several illustrative examples of your best work and important accomplishments as well as several evaluations (beyond those of the annual review). In other words, inclusion of your complete works in the portfolio is impractical, and not essential nor required to document your best accomplishments. You should limit your examples and documentation to no more than three or four of your more recent and important accomplishments in each of the three areas of review – teaching, scholarship, and service.

The documentation in each of the three sections includes two basic types of evidence: 1) examples of best work and important accomplishments (via documentation or a one-page synopsis of such), and 2) some evaluations of your accomplishments or work in progress. The portfolio should contain **only the most important evidence that supports your case** for reappointment, tenure or

promotion. All documentation in the portfolio should be directly linked to the narrative through specific references in the narrative's text.

For some accomplishments, substantial documentation readily exists and you can easily include or excerpt it for use in the portfolio. However, contributions in areas such as advising, supervising or mentoring students; experimentation and innovation in teaching; leadership in a professional association or project; scholarship in progress; or grant solicitation activity are examples of accomplishments that you may decide to include in your portfolio, but for which existing written evidence is often lacking. You can address voids documentation through the use of a one-page synopsis.

A one-page synopsis is an effective option for reporting activities for which other forms of documentation are not available. A synopsis is a self-reported summary containing a detailed description of the nature of your important contributions and accomplishments in a particular area of work or achievement. If, for example, you elect to spotlight your achievements in chairing a major college task force as an example of your best work in professional service, a one-page synopsis can describe in detail the extent and nature of your contributions and leadership while in the role of chair of the task force. You can use a one-page synopsis in all three areas when other forms of generally accepted evidence do not exist.

Evaluations of your accomplishments are quite varied and include examples such as formal awards, honors or recognition; refereed support for publication, presentation or exhibition; reviewer feedback from manuscript and grant submissions; published critiques of the candidate's work; written feedback from structured classroom visitations, analyses and interpretations of student evaluations of teaching and supervision; solicited support letters, etc.

In accordance with the Family Educational Rights & Privacy Act of 1974 as amended, faculty should not include material in their portfolio that identifies the specific grades or grade point average of students who are identified by name or full social security number.

Your portfolio should be submitted to the provost's office, where it will be housed until your review is complete. Your portfolio does **NOT** become part of your permanent file.

V. Activities to Document

1) TEACHING

This basic category of faculty performance refers to a wide variety of instructional activities. The principal purpose of these activities is to engage students, peers, and others in activities that facilitate learning and educational advancement. In light of UIS's central priority of teaching, your

narrative and portfolio include substantial evidence of your effectiveness with students in facilitating learning.

A comprehensive evaluation of teaching effectiveness will involve evidence derived using multiple methods and measures, both quantitative and qualitative. You may refer to and build on your annual performance reports that address your teaching effectiveness. In addition, your portfolio may contain illustrative examples of instructional materials, peer reviews, or other documents that reflect your best work and important accomplishments in teaching, mentoring, and supervision.

Personnel review committees at every level (department, college, and campus) will look to the application narrative and the portfolio in assessing the candidate's performance. The following credit-bearing and non credit-bearing activities (not prioritized), as deemed appropriate for specific disciplines, as well as others not mentioned here, may be documented in the portfolio:

- teaching groups, classes, seminars, workshops, etc.
- advising and mentoring students
- availability for student advising, including office hours held online, face-to-face, and by phone
- number of students advised and activities conducted in advising duties, including outreach and individual student contacts
- advising feedback and assessments from students and colleagues
- handling diverse and challenging teaching loads and course assignments
- guest lecturing, speaking, master classes, etc.
- teaching individuals in tutorials, or independent or directed studies
- supervising students and others in field placements, clinical placements, applied study terms, internships, co-ops, student teaching, applied music, theses, etc.
- chairing and serving as a reader on students' masters' theses, masters' projects, and doctoral dissertations
- advising and mentoring peers and others about teaching and learning
- developing and revising instructional programs, courses, curriculum materials, tests, assignments, etc.
- creating and updating syllabi
- assessing instructional and advising effectiveness
- utilizing multiple methods for assessment of teaching effectiveness
- engaging in pedagogical innovation and experimentation
- setting goals for instructional and advising improvement
- using results of evaluations for professional growth and improvement

- earning recognition and awards for distinguished teaching
- assessing and documenting student learning
- incorporating appropriate instructional technology
- maintaining currency in instructional content and delivery
- maintaining a teaching portfolio
- mentoring students in research, creative, professional, career, or other scholarly activities outside of class

2) SCHOLARSHIP

Scholarship at UIS is broadly defined at UIS to encompass a wide array of activities that contribute to the advancement of knowledge, understanding, application, problem solving, aesthetics, pedagogy, and the communities and broader public we serve. It includes the scholarship of discovery, integration, application and teaching.

A comprehensive evaluation of scholarship will involve evidence derived using multiple methods and measures, both quantitative and qualitative. You may refer to and build on your annual performance reports that address your scholarship work. In addition, your portfolio may contain illustrative examples of scholarly work, peer reviews, or other documents that reflect your best work and important accomplishments in scholarship.

Personnel review committees at every level (department, college, and campus) will look to the application narrative and the portfolio in assessing the candidate's performance. The following activities (not prioritized), as deemed appropriate for specific disciplines, as well as others not mentioned here, may be documented in the portfolio:

- engaging in applied research including surveys, assessments, evaluations, field studies, etc.
- pursuing cross-disciplinary research projects, integrative studies, surveys of the literature, interpretative analyses, etc.
- conducting research and development aimed at the improvement of teaching and learning
- engaging in applied research related to assessment of learning outcomes
- conducting basic research for the discovery of new knowledge
- producing creative works of art, literature, media, etc.
- giving creative public performances, readings, shows, exhibitions, etc.
- giving paper/poster presentations at professional meetings

- publishing papers, articles, books, chapters, monographs, reviews, case studies, working papers, proceedings or creative works (single or joint authorship, as well as editing volumes; print and other media; refereed and non-refereed publications)
- serving as a reviewer or editor of professional publications
- giving or preparing translations of works in other languages
- writing scholarly grant proposals to procure funding for one's work and/or the advancement of the institution
- reviewing and critiquing grant applications, papers, and manuscripts or judging performances or creative activities
- convening and discussing paper presentations at professional meetings
- maintaining significant progress in on-going scholarly activities
- conducting professional workshops, seminars, and colloquia for colleagues
- delivering invited professional presentations and speeches
- earning recognition and awards for distinguished scholarship and creative works
- receiving commissions and contracts to produce creative products
- regularly attending academic conferences, workshops and lectures
- preparation of articles for the education of the broader public
- production of computer software or videotapes (as well as other media)
- analysis of public policy issues for policy specialists or the broader public
- documented comments by colleagues, inside and outside the university, who are knowledgeable in the area under consideration
- maintaining a professional portfolio of scholarship/creative activity
- engaging students in meaningful scholarship activities
- producing and disseminating scholarship in collaboration with students

3) SERVICE

Professional service generally involves the application of a faculty member's academic and professional skills and knowledge to the completion of tasks which benefit or support individuals and/or groups in the campus, University, professional associations, or external communities at the local, state, regional, national, or international levels. The definition of service goes beyond the activities normally associated with the teaching and scholarship areas. Community service refers to activities that go beyond those which are open to any responsible citizen.

A comprehensive evaluation of service will involve evidence derived using multiple methods and measures, both quantitative and qualitative. You may refer to and build on your annual

performance reports that address your service. In addition, your portfolio may contain illustrative examples of service, peer reviews, or other documents that reflect your best work and important accomplishments in service.

Personnel review committees at every level (department, college, and campus) will look to the application narrative and the portfolio in assessing the candidate's performance. The following activities (not prioritized), as deemed appropriate for specific disciplines, as well as others not mentioned here, may be documented in the portfolio:

- contributing actively as a member or leader of committees and task forces at the campus, University, professional, and local community levels
- fulfilling responsibilities in shared faculty governance
- administering divisions, departments, organizational functions or support services
- contributing to the development of the Department (beyond what is normally expected of every faculty member)
- contributing substantially to assessment of learning outcomes
- coordinating programs for professional regional, national, and international conferences/meetings
- serving as an officer in professional or civic organizations or participating and leading institutional and department accreditation self-studies
- organizing symposia or bringing professional meetings to UIS
- engaging in service learning activities
- improving the cultural or educational climate of the campus or external community
- volunteering support to community service organizations and projects associated with UIS organizations or service learning initiatives
- engaging in professional practice (e.g., consulting, clinical practices, tutoring services, etc.)
- conducting professional development and continuing education programs
- serving on accreditation teams
- transmitting knowledge to public or private agencies
- assisting in student recruitment and retention activities and fund-raising campaigns
- marketing and promoting programs, departments, and the institution
- establishing and maintaining informational web pages
- editing an association newsletter or journal
- receiving community recognition or awards for service contributions
- earning awards for distinguished service activity

- public affairs service efforts, activities, and programs which educate in public affairs
- maintaining a professional portfolio of accomplishments in service

VI. FORMAT

Faculty Member's Name

Department/College

Institution

Date

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1. Statement of Scholarship Philosophy and Goals
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SERVICE

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APPENDIX 11
PROCESS FOR DETERMINING HONORARY DEGREES

I. Criteria/Request for Nominations for Honorary Degrees

The Campus Sabbatical and Awards Committee invites nominations for honorary degree awards. You are urged to nominate, through your unit, outstanding candidates for Honorary Degree awards. Nomination procedures are detailed below.

Nominations will be considered throughout the year. Nominations and supporting materials received by the end of the fall semester and early in the spring semester will be considered for the degree at the end of the next academic year. The Committee urges all units contemplating submitting a nomination to begin their preparation as soon as possible.

The committee very much appreciates your help in identifying outstanding individuals whom the University can honor and, in so doing, honor itself. If you have any questions or need additional information, please contact the Provost/VCAA Office (206-6614).

II. Qualifications

The prime, controlling consideration should be distinction. The person should have made a distinguished contribution to knowledge and creativity in the relevant field of endeavor, or have shown sustained activity of uncommon merit. The contributions may be made in a wide range of activities; the following list is not exhaustive:

- Scholarship, in any discipline: major breakthroughs in knowledge in fields of scholarly work.
- Creative Arts, in the broad sense of the term: literature, music, visual arts, theater, et al; the development of new frontiers of creativity.
- Professions: distinguished contributions, innovative work of distinction.
- Public Service: outstanding achievement in public sector leadership, community service and public affairs.
- Business and Industry: outstanding, innovative activity in the business community.

The Committee will consider but not be bound by, the degree to which the candidate has had some association with Illinois – the University or the State. While alumni of the University should not be excluded, honorary degrees are not a means of recognizing their contributions; other awards

exist for this purpose. Current administrators, faculty, or staff of the University ordinarily are not eligible; emeriti are eligible even if engaged in teaching or research at the University. Elected officials of the State of Illinois and its subordinate units and members of the Legislature, during their terms of offices, ordinarily are not eligible.

III. Nomination Procedures

For full consideration by the Committee, the nominator or nominating unit should supply the following information:

- a. A brief letter of nomination, summarizing the candidate's qualifications for this honor, and certifying the support of the appropriate academic unit.
- b. A brief curriculum vitae of the nominee, including addresses, telephone numbers, or other means by which the nominee can be reached. If the nomination finds substantial initial support in the Sabbatical and Awards Committee, additional information may be requested from the department to develop the case and to provide the Senate with the materials it needs for the final decision. The Campus Senate will make the final decision.
- c. The names and addresses of at least four professionally-distinguished individuals who could be contacted for letters of support or further information about the candidate. It is hoped that oral communications among professional colleagues will help assure the confidentiality of the decision process.

Award titles include, but are not limited to:

- Doctor of Science
- Doctor of Public Service
- Doctor of University Administration
- Doctor of Law and Justice
- Doctor of Social Service
- Doctor of Humane Letters
- Doctor of Literature
- Doctor of Fine Arts
- Doctor of Letters

Other titles may be established as needed with approval of the Campus Senate.

Nominations and full dossiers should be sent to the Chair of the Senate Sabbatical and Awards Committee – Honorary Degrees in care of the Provost/VCAA Office, PAC 528, MS PAC 525.

APPENDIX 12
DISTINGUISHED SCHOLAR POLICY

I. Criteria for Appointment

Criteria for appointment as a Distinguished Scholar are discipline-specific. Standards of excellence are not the same for a physical scientist, a creative artist, or a social scientist, for example. The criteria used for nomination and appointment within a particular academic field must be ones that recognize only the highest level of attainment in the field. The specification of such criteria and verification that the candidate's work meets or exceeds them, is a major responsibility of the person(s) nominating an individual for consideration as Distinguished Scholar.

The criteria should reflect recognition of (1) outstanding scholarly/creative contributions; (2) widely regarded leadership status within the nominee's field; and (3) recognition by arbiters of the highest level of intellectual eminence, for example, the National Academy of Science or American Academy of Arts and Sciences.

The application supporting the nomination must contain at a minimum the following documentation for consideration of this honor.

Letter of support from Department Chair/Convenor to the Dean

Letter of support from Dean to the Provost

Current Curriculum vita

Letters of support from leaders in the field explaining and documenting the impact of the nominee's work (minimum of three letters – nationally and internationally)

II. Procedures for Appointment

The route for appointment of a Distinguished Scholar is as follows:

A nomination for appointment of a Distinguished Scholar at UIS must originate from an academic unit at UIS. The nomination will be considered first in the department of UIS where the faculty member holds tenure. The department forwards a recommendation to the Dean of the college in which the department is situated. The Dean, with the approval of the college executive committee or appropriate college committee, moves the nomination forward. The Sabbatical and Awards Committee will review the nominations. The reviewers will be given considerable time in order to solicit additional letters from nominee's colleagues and scholars in their area of expertise. Recommendations will be forwarded for approval to the UIS Provost and then to the Vice President of Academic Affairs.

III. Term of Appointment

The appointment of a UIS Distinguished Scholar will become effective at the beginning of the next academic year following final VPAA approval. The appointment is for the duration of their full-time tenure at UIS.

APPENDIX 13
Compensation Schedule

I. Overload Compensation

- A. Overload compensation for a three (3) or four (4) credit course overload shall be at least one half (1/2) of the faculty member's regular monthly salary and half that amount for a two (2) credit course overload. For full time non-tenure-track (NTT) faculty on 12 month contracts, overload compensation during the normal fall and spring semesters shall be at least one eighteenth (1/18) of their annual total faculty position salary.
- B. Overload compensation for faculty members who supervise Liberal & Integrative Studies and Liberal Studies students in field work, independent study, tutorial and/or final demonstration projects shall be \$100 per credit hour.

II. Summer Teaching Compensation

Salaries for summer session shall be based upon regular academic year salaries. Each faculty member employed during the summer session shall be paid one (1) month of her/his salary to teach a three-credit (3-credit) or four-credit (4-credit) hour course or non-instructional equivalent, and half that amount to teach a two-credit (2-credit) hour course or non-instructional equivalent. For full time NTT faculty on 12 month contracts, overload compensation shall also be calculated as at least one eighteenth (1/18) of their annual total faculty position salary.

III. Off-campus Instruction Compensation

A relocation allowance shall be paid to all faculty members teaching at off-campus sites. The payments shall be \$1325 for each course offered once per week over the semester at sites located 70 miles or more from the UIS campus, and \$800 for each course offered once per week over the semester for sites less than 70 miles from the UIS campus. Payments shall be increased or decreased proportionately for courses which involve more or fewer trips to the off-campus site. Payment shall be adjusted for weekend intensive courses which require overnight stays. Each overnight stay shall be counted as an additional one and one-half (1 1/2) trips.

IV. Completion of Dissertation Compensation

Upon completion of the dissertation, as shown by a letter from the Dean of the College or other appropriate university official or an official transcript, the faculty member will be deemed to have

satisfied the contingency and will receive a salary increase of at least one hundred fifty dollars a month (\$150) or \$1350 for nine (9) months effective the next pay period.

V. Promotion Compensation

Faculty receiving promotions to Associate Professor will receive an increase of \$3000 and to Professor an increase of \$5000. This increase will be made to their yearly, nine (9) month base pay. Faculty promoted from Assistant Professor to Associate Professor will be provided a one-time amount of \$1000 in professional development funds over the standard amount provided yearly to each faculty member. Faculty promoted from Associate Professor will be provided a one-time amount of \$2500 in professional development funds over the standard amount provided yearly to each faculty member. These professional development funds will be provided from a source outside of the current college budgets and from a source that allows the funds to carry over fiscal years.

VI. Faculty Development Compensation

Each College will make available a minimum of \$700 per faculty member with no stipulation about the division between travel and contractual funds. Additionally, clinical faculty will be eligible for faculty development compensation.

APPENDIX 14

Dismissal Procedures for Non Tenure-Track Faculty on Multi-Year Appointments

Section 1. Definition of Cause

Article IX Section 12 of the University *Statutes* states that members of the academic staff with multiple year appointments may be dismissed for cause, and further defines cause as: (1) Failing to perform contractual duties or related activities in a professional manner, whether from incompetence, neglect or willful refusal; (2) Failing to follow all applicable campus or University regulations or policies, and all applicable laws related to the conduct of contractual duties; (3) Acting outside the appropriate exercise of University responsibilities so as to willfully cause or threaten to cause physical harm to, harass or intimidate a visitor or a member of the University community; (4) Willfully or negligently damaging, destroying or misappropriating property owned by the University or any property used in connection with a University function or approved activity; or (5) Being convicted of or pleading guilty to a felony.

Section 2. Dismissal Procedures

The following procedures apply to all cases wherein a Dean has communicated to the Provost that cause may exist to seek dismissal of an academic staff member prior to the conclusion of his/her contract term.

A. Charges

It is the responsibility of the Provost, in consultation with the Senate Executive Committee, to consider whether cause may exist to initiate dismissal proceedings against an academic staff member ("person being charged"). In considering whether cause may exist to initiate dismissal proceedings concerning an academic staff member, and before arriving at a determination that such cause may exist, the Provost shall consult with the Senate Executive Committee in closed session about the matter. This consultation and all further deliberations and communications involved in any such proceeding shall be confidential to the extent permitted by law.

B. Notification

When the Provost has arrived at the determination that cause may exist to initiate dismissal proceedings, the person being charged shall be given notice and informed in writing by the Provost of the charges and initiation of dismissal proceedings, and of the process outlined in this policy (including the appeal procedure). This notification will occur within 5 business days of the Senate Executive Committee session about this matter.

C. Hearing by a Faculty Committee

For each case, there shall be a Hearing Committee for Academic Staff Dismissal (henceforth "Hearing Committee" or "Committee") to which dismissal charges shall be referred by the Provost. The Committee shall hold hearings, inquiries and deliberations and shall be empowered and charged to act as specified below. The Committee shall consist of three (3) faculty, appointed by the Provost, in consultation with the chair of the Senate.

No member of the Hearing Committee shall have a conflict of interest which would render their involvement in the hearing inappropriate or have close professional or personal relationships with the person being charged, nor be in the same department or other smallest administrative unit, or have previously acted on another committee in which the case has previously been considered.

The Hearing Committee shall be charged by the Provost conduct its proceedings as expeditiously as is feasible and consistent with due diligence. All of its proceedings shall be confidential, and be held in confidence by all who take part in them.

For each case, the Provost will appoint a chair to convene the Committee. The Chair shall select one of its members to make a confidential written summary of what transpires in its sessions. These summaries shall be reviewed and approved by the Committee, and turned over to the Provost at the conclusion of the Committee's deliberations.

The Committee will commit to writing timelines and any ground rules it plans to follow in considering the case. It shall not be bound by technical rules of evidence, but all findings, conclusions and recommendations of the Committee shall be supported by substantial evidence. The Committee shall give the person being charged the opportunity to appear before it prior to its final deliberations to respond to the charges, address evidence supporting dismissal, and present further evidence relevant to the charges. It shall give the Dean or Dean's designee the same opportunity. The person being charged may be accompanied by and consult with an advisor, as may the Dean or Dean's designee, subject to ground rules and decisions of the chair. The final deliberations of the Committee shall be held in closed session, with all and only members of the Committee present.

D. Findings, Conclusions and Recommendations

The Hearing Committee shall vote on whether to recommend dismissal based on majority vote of the committee. The committee shall prepare and submit a written report to the Provost containing findings, conclusions and recommendations concerning whether they found cause for dismissal.

The Provost shall proceed to consider and determine whether dismissal is warranted within ten business days of receiving the committee's report, giving due consideration to the report of the Hearing Committee, and consulting with the Hearing Committee as may be appropriate and needed. The Provost's decision shall be deemed final.

The Provost will notify the person charged of his/her decision by registered mail, together with a statement of the reasons for the decision, and notification of the appeal process available, with copies to the Chancellor and the Hearing Committee.

E. Appeal Process

An academic staff member upon whom dismissal has been imposed may file an appeal with the Chancellor within 20 business days following the Provost's decision. This appeal must be in writing, and must set out the grounds on which the appeal is being made. The appeal should involve procedural objections.

The Chancellor shall make a determination on the appeal, informing the academic staff member, the Provost and the Hearing Committee in writing. The appeal process shall be concluded as expeditiously as possible and in any event, not more than 30 business days after the Chancellor received the appeal.

The Chancellor's decision shall be final, and shall be sent by registered mail to the person being charged, and reported in writing to the person's department chair and dean, the Provost, campus legal counsel, the Hearing Committee, and any other committee that has been consulted. These reports shall be made and held in confidence.