ARTICLE 20
EVALUATION: CRITERIA AND PROCEDURES
UNIT A

20.1. Purpose of Evaluation

The University is responsible for evaluating the performance of all employees. The purposes of evaluation are to judge the effectiveness of an employee’s performance, to identify areas of strength and weakness, and to improve employee performance. Additionally it shall provide a basis for the University President and the Board, as appropriate, to make decisions concerning retention, promotion, tenure, or PAAs. It is the responsibility of all employees to submit the materials and follow the schedules identified in this Article.

20.2. Evaluation Schedule

In consultation with the Union Chapter President, the Academic Vice President or designee shall create and distribute to all faculty by September 1 the University timetable listing the deadline dates for faculty to submit their evaluation portfolios and for each faculty committee and evaluating administrator to provide written notice of their evaluation recommendations. Upon written request of the employee or the department chair and the dean, the Academic Vice President may extend the deadline for submission of the portfolio, with notification to the Union Chapter President.

20.3. Evaluation Period

a. Retention: Except in Probationary Year One [PY1] and PY2, material submitted for an evaluation will include activity from the first day of the fall semester to the day preceding the beginning of the next fall semester (see chart on the following page). The year in which one submits a retention portfolio is not evaluated as it will be evaluated during a subsequent evaluation period.

b. Primary emphasis will be placed on performance since the initial appointment date for first-year employees; for all other probationary employees, primary emphasis will be placed on the period beginning with the semester they submitted their most recent evaluation portfolio. However, each evaluation period shall be considered not in isolation but in the context of the employee’s total probationary performance record. Probationary employees will show improvement in Teaching/Primary Duties and increased quantity and quality of performance in Scholarly/Professional Activities and Service Activities. Exceptions to this expectation may be made for faculty whose performance is sufficiently strong that significant improvement would be difficult to achieve.

c. Employees in PY1 and PY2 shall be evaluated in Teaching/Primary Duties. Employees in PY1 and PY2 will be required to submit plans for pursuit of Scholarly/Professional Activities, and may list Scholarly/Professional Activities for that evaluation period if applicable. Employees in PY1 and
PY2 will demonstrate at least minimal service in each evaluation period. Service Activities, Scholarly/Professional Activities, and plans for Scholarly/Professional Activities shall be included in the evaluation portfolio for written advisory comment from the Department Personnel Committee (DPC), department chair, and dean. A non-retention decision in PY1 and PY2 cannot be based on Scholarly/Professional or Service Activities. PY1 and PY2 written advisory comments are intended for the faculty member’s professional development, and shall not be used as a basis for personnel decision making in PY1, PY2, or in future evaluation years.

Evaluation for PY1 will consider documentation for fall semester of that year. Evaluation for PY2 will consider documentation for spring semester of the first year (with a review of the PY1 outline). Evaluation for PY3 will consider documentation for fall and spring semesters of PY2 (with a review of the PY1 and PY2 outlines). Evaluation of PY4 will consider documentation for fall and spring semesters of PY3 (with a review of all previous years’ outlines). Evaluation for PY5 will consider documentation for fall and spring semesters of PY4 (with a review of all previous semester outlines). This system is presented in the chart below:

<table>
<thead>
<tr>
<th>PY Year</th>
<th>Semesters to Be Documented</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Fall, PY1</td>
</tr>
<tr>
<td>2</td>
<td>Spring, PY1*</td>
</tr>
<tr>
<td>3</td>
<td>Fall &amp; Spring, PY2*</td>
</tr>
<tr>
<td>4</td>
<td>Fall &amp; Spring, PY3*</td>
</tr>
<tr>
<td>5</td>
<td>Fall &amp; Spring, PY4*</td>
</tr>
<tr>
<td>6 (Tenure Year)</td>
<td>Fall, PY1 to Date of Tenure Application*</td>
</tr>
</tbody>
</table>

*Plus outlines from previous years

Employees who begin their employment after October 1 shall remain in PY1 their entire second employment year. In January of their second employment year, they will have the previous spring and fall evaluated. They then will fall into the normal cycle described above beginning with PY2.

d. **Tenure:** The evaluation period for tenure will include the total number of years employed as a probationary faculty member at the University, up to and including the date of submission of the tenure portfolio.

e. **Promotion:** The evaluation period for promotion (to both Associate Professor and Full Professor) will include the employee’s entire record since the initial hiring date up to and including the date of submission of the promotion portfolio.

f. **PAAs:** The evaluation period for PAAs will be the academic year (first day of fall semester through the day preceding the first day of the following fall semester), repeatable until sufficient points are earned to obtain the award.
g. **Four-Year Appraisal of Tenured Faculty:** The evaluation period will include the four years (i.e., the eight full semesters) prior to appraisal application.

20.4. **Evaluation Criteria**

a. Evaluation of an employee’s effectiveness shall be based on consideration of the employee’s professional responsibilities: Teaching/Primary Duties, Scholarly/Professional Activities, and Service Activities. Teaching/Primary Duties shall be the most important of these three responsibilities.

b. Department Criteria

(1) Each department shall have a statement of Department Criteria, describing the standards, materials, methods, and procedures to be used in evaluating performance of employees eligible for retention, tenure, and promotion. The Department Criteria will contain the following:

(a) Materials and activities appropriate for the department to use for each of the three areas of evaluation and the relative importance of these materials and activities

(b) A general statement of the methods to be used and the relative emphasis to be given in each of the three areas of evaluation, with Teaching/Primary Duties being the most important area

(c) A statement that student assessment results will not be used in the evaluation of faculty performance

(d) An educational requirement—Current educational requirements for tenure shall be reviewed and, if appropriate, modified, at the department level. Departments with professional programs may specify requirements within their programs.

(e) The department’s student course evaluation form

(f) When applicable, Department Criteria shall take into consideration inherent differences in form, content, or audience that might adversely affect a faculty member’s evaluation—Examples include, but are not limited to, general education, Distance Education (see Article 20.16.), or multicultural material.

(g) A statement that defines the composition of the Department Personnel Committee (DPC) and the procedures for election

(h) The criteria for tenure, which will be identical to the criteria for promotion to Associate Professor
(2) Nothing shall prevent the Academic Vice President from requiring common elements in all Department Criteria as related to the performance of assigned professional responsibilities, upon discussion with the Union Chapter President.

c. Department Criteria Development and Approval Process

Department Criteria will be developed by the department chair in collaboration with the department faculty. A minimum of one departmental meeting will be devoted to seeking input from faculty and to the development of the Department Criteria. Minutes will be taken at this meeting. All faculty members of the department/unit will be given the opportunity to vote to recommend to approve or disapprove the final Department Criteria document. Upon completion, the Department Criteria will be signed by the DPC chair indicating faculty participation and either concurrence or concerns. The DPC chair shall attach a statement to accompany the Department Criteria containing any comments or concerns expressed by the faculty, either individually or collectively.

By no later than a date to be specified in the University timetable, each department chair shall submit the department’s proposed Department Criteria, with the faculty vote and any accompanying statement by the DPC chair, to the appropriate dean and College Personnel Committee (CPC). The dean and CPC will forward all Department Criteria, along with their respective recommendations, the faculty vote, and statement from the DPC chair, to the Academic Vice President for approval/disapproval. The dean’s and CPC’s recommendations will simultaneously be copied to the department chair and chair of the DPC. The Academic Vice President shall review proposed Department Criteria, discuss them with the appropriate dean and the Union Chapter President, and then notify the dean, department chair, and the DPC chair in writing of any recommended additions, deletions, or modifications. Department revisions shall be submitted to the dean and forwarded to the Academic Vice President for final approval. The Academic Vice President will notify departments of the approval status of their Department Criteria. [Specific dates will be provided by the Academic Vice President in consultation with the Union Chapter President following ratification of the contract.]

(1) The Department Criteria as approved shall become effective the first day of the fall contract 2008. The Department Criteria shall remain in effect for the duration of this Agreement, unless modified by the faculty and department chair, recommended by the dean, and approved by the Academic Vice President after discussion with the Union Chapter President. Modifications when necessary shall follow the same procedures discussed in 20.4.b. Any department considering modifications to Department Criteria must provide sufficient justification to the Academic Vice President for initiating those changes to the Department Criteria. Department Criteria in effect on August 31, 2007, shall remain in effect through the 2007-2008 academic year.
During the first year (2008-2009) of the new Department Criteria, faculty applying for retention, tenure, or promotion may choose whether to meet the old or the new Department Criteria.

All departments shall receive a copy of the approved statement of Department Criteria within 15 days of final approval, with copies to individual faculty no later than September 1, 2008.

d. Areas of Evaluation

The effectiveness of each employee being considered for retention, promotion, tenure, and PAA (see Article 20.13.), will be evaluated in the areas of Teaching/Primary Duties, Scholarly/Professional Activities, and Service Activities. Teaching/Primary Duties is the most important of the three areas of evaluation.

e. Factors to be Considered in Evaluation of Each Area (Specificity to be added by Department Criteria)

The following lists are not to be considered exhaustive but are intended to be used as a guide. All employees will not necessarily be evaluated on all items.

(1) Teaching/Primary Duties

(a) Assigned and related teaching responsibilities

(b) Command of and currency in subject matter/discipline

(c) Oral English proficiency as mandated by Illinois statute

(d) Ability to organize, analyze, and present knowledge or material

(e) Ability to encourage and engage students in the learning process

(f) Application of new methodologies and technologies of instruction

(g) Documented participation in professional growth activities contributing to enhanced teaching or contributions to the University or profession

(h) Student advisement and direction of individual student activities

(2) Scholarly/Professional Activities

(a) The quality and quantity of research

(b) The quality and quantity of research leading to publication/presentations
(c) The quality and quantity of creative activity especially in, but not limited to, the performing arts

(d) The nature, number, and funding level of grants

(e) The extent and nature of local, state, or national recognition of research/creative activity

(f) The extent and nature of participation in professional organizations (local, state, national; office/position held or leadership roles)

(3) Service Activities*

Service Activities include department, college, and University-wide activities and service to the region and state, and service to a professional organization if not listed in 20.4.e.(2)(f), including, but not limited to, such activities as the following:

(a) Committees

(b) Recruitment/retention activities

(c) Sponsorship of student organizations

(d) Mentoring activities

(e) Community or regional agency work or consultations

*For faculty assigned to the WIU-Quad Cities campus, criteria should reflect what is available at that location, recognizing alternatives to Macomb-based committee service.

The quality of participation shall be evaluated by consideration of factors such as the following:

(a) Extent and nature of leadership

(b) Degree of participation

(c) Quality and length of service

(d) Extent and nature of local, state, or national recognition of service

(e) The relationship of the service to the employee’s assigned responsibilities and to the University
20.5. Evaluation Committees

a. Faculty evaluation committees will function at the department and University levels. All faculty on these committees will be *tenured* employees (unless a department has fewer than three tenured faculty) elected by members of Bargaining Unit A.

(1) DPC members will be elected by all department members of Bargaining Unit A. In a department unable to constitute a DPC of three members for all portfolio applications, DPC members will be elected by and from among all Unit A bargaining unit members who teach courses in that department on a regular basis as determined by the department. If there are not enough Unit A bargaining unit members regularly teaching courses in the department to constitute a three-member DPC for all portfolio applications, then Unit A bargaining unit members in the department will elect among Unit A bargaining unit members recruited from outside the department. These DPC volunteers will be recruited on the basis of their disciplinary similarities to the department.

(2) The CPC shall consist of all the DPC chairs in a college or a subset of DPC chairs in the college. If a subset, CPC members will be elected by the chairs of each DPC in each college. The size of this committee will be determined in each college. The CPC will evaluate portfolios for all employees receiving a negative recommendation by the DPC and/or department chair. The CPC will also be responsible for reviewing the Department Criteria and *PAA Activities* documents submitted by the departments in the college and for making recommendations with regard to those documents, with primary emphasis on consistency of expectations across departments.

(3) The University Personnel Committee (UPC) shall consist of nine tenured Professors, with two elected from and by each college; one representative will be elected by and from the University Library/Counseling Center/ Illinois Institute for Rural Affairs Bargaining Unit A employees. Staggered terms shall be for three years. The Faculty Senate will conduct the election of representatives on the UPC.

b. The role of faculty personnel committees in retention, tenure, and promotion is to provide written recommendations: DPCs recommend to department chairs; CPCs recommend to deans in cases where there are any negative recommendations; and the UPC recommends to the Academic Vice President in cases where there are any negative recommendations.

c. All evaluators, including DPCs, CPCs, and the UPC, may request further materials, explanations, or additional documentation of statements in the portfolio.
d. Failure to constitute a committee or failure of a committee to make a recommendation shall not prevent decisions concerning retention, tenure, or promotion from being made.

20.6. **Evaluation Portfolio and the Addition of New Materials**

a. By a date specified in the University evaluation timetable, each employee to be evaluated for retention, promotion, and tenure shall submit an evaluation portfolio containing evaluation materials required by the Department Criteria. The portfolio should include a table of contents to ensure adequate security of the contents, and it should be organized according to the guidelines developed jointly by the Academic Vice President and the Union.

b. Material used in the evaluation process shall be materials included in the evaluation portfolio, materials referred to in the employee’s supporting materials, and materials in the employee’s personnel file, except for confidential materials submitted in connection with the employee’s initial appointment. Documentation of program needs may be used where program needs are the basis of a non-retention recommendation or decision.

c. Conditions under which materials may be added to the portfolio by the Administration:

   (1) when the materials were not available prior to the beginning of the evaluation process, provided the employee is notified and given an opportunity to respond; or

   (2) when the materials were in the employee’s personnel file prior to the beginning of the evaluation process, provided that copies of any statements attached to such materials by the employee also be included and provided that the employee is notified and given an opportunity to review the materials and respond.

d. Conditions under which materials may be added to the portfolio by the employee:

   (1) when an evaluator requests further materials, explanation, or additional documentation of statements in the portfolio; or

   (2) when the material is submitted in response to an evaluator’s placement of materials in the employee’s evaluation portfolio or personnel file after the beginning of the evaluation process; or

   (3) when supporting documentation was not available prior to the beginning of the evaluation process.

   (4) In the case of a tenure application and an application for promotion to Associate Professor, where substantial new material may affect the
outcome, the addition of new material will be permitted at any time during
the evaluation process.

e. When materials are added to the employee’s evaluation portfolio or when addi-
tional materials are requested, the evaluation shall cease and the employee shall
be given up to three work days to respond before the evaluation resumes, unless
given an extension by the Academic Vice President and the Union Chapter
President.

f. A copy of the evaluation recommendation made at each step of the evaluation pro-
cess shall be added to the portfolio. If an employee has requested reconsideration
of a negative recommendation, a copy of the employee’s request for reconsidera-
tion letter and of the written statement of the result of the reconsideration shall be
included in the portfolio. A copy of any written evaluation placed in an employee’s
evaluation portfolio or personnel file shall be provided to the employee.

20.7. Evaluation Procedures Common to All Personnel Applications

a. Employees will initiate applications for retention, tenure, or promotion. This is
accomplished by the submission of the evaluation portfolio to the department
chair.

b. The following evaluators will prepare separate written recommendations con-
cerning applications for retention, tenure, or promotion: the DPC, the depart-
ment chair, the CPC if required, the appropriate dean or director (if any), and
the UPC if required. All written recommendations will be supported with written
reasons based on Department Criteria, and the applicant will be provided
with a copy of the recommendation and supporting reasons before the recom-
mendation is forwarded to the next level. The Academic Vice President shall
review with the University President the evaluation portfolios submitted by
employees. The University President will provide the employee with a written
decision concerning the application. If the decision is negative, the University
President will provide the employee with a statement of reasons for the deci-
sion based on Department Criteria.

c. The evaluation process will commence with the department chair forward-
ing the evaluation portfolio to the DPC. Upon completion of its evaluation,
the DPC will forward the evaluation portfolio to the department chair. Upon
completion of her/his evaluation, the department chair will forward the evalu-
ation portfolios to the CPC for all employees receiving negative recommenda-
tions. Upon completion of its evaluation, the CPC will forward the evaluation
portfolio to the appropriate dean or director; if there is no dean or director, the
department chair will forward the evaluation portfolio to the Academic Vice
President. Upon completion of her/his evaluation, the dean or director will for-
ward the evaluation portfolio to the Academic Vice President. The Academic
Vice President will forward to the UPC the evaluation portfolios for all employ-
ees receiving negative recommendations. Upon completion of its evaluation,
the UPC will forward the evaluation portfolio and its recommendation to the
Academic Vice President. The Academic Vice President shall review with the University President the evaluation portfolios submitted by employees. The University President shall provide each employee with a written decision. If the decision is negative, the University President shall provide the employee with a statement of reasons for the decision based on Department Criteria.

d. The employee may submit a written request for reconsideration of any negative recommendation by the DPC, department chair, CPC, or dean. In the event of a negative evaluation from the UPC, the employee may attach a response to go forward to the Academic Vice President. The request should contain relevant information, reasons, and documentation. Requests for reconsideration must be filed with the appropriate evaluator no later than five work days after receipt by the employee of the negative evaluation recommendation. All requests for reconsideration will be granted, and the appropriate evaluator will provide the employee with a written statement of the result of the reconsideration.

e. Copies of all written recommendations, requests for reconsideration, written responses to the requests for reconsideration, and a response written by an employee after a negative decision by the UPC shall be placed in the employee’s evaluation portfolio at each level of review.

20.8. Procedures Unique to Retention Decisions

a. Probationary employees shall be evaluated every year; however, no employee shall be evaluated for retention until she/he has completed one full semester at the University. Employees in PY1 and PY2 shall be evaluated in Teaching/Primary Duties. Employees in PY1 and PY2 will be required to submit plans for pursuit of Scholarly/Professional Activities and may list Scholarly/Professional Activities for that evaluation period if applicable. Employees in PY1 and PY2 will demonstrate at least minimal service in each evaluation period. Service Activities, Scholarly/Professional Activities, and plans for Scholarly/Professional Activities shall be included in the evaluation portfolio for written advisory comment from the DPC, department chair, and dean. A non-retention decision in PY1 and PY2 cannot be based on Scholarly/Professional or Service Activities. PY1 and PY2 written advisory comments are intended for the faculty member’s professional development and shall not be used as a basis for personnel decisionmaking in PY1, PY2, or in future evaluation years.

b. Written notice that a probationary appointment will not be renewed will be given to an employee by the University President as follows:

(1) By not later than April 1 for employees in PY1 and PY2

(2) By not later than December 15 for employees in PY3 and PY4

(3) By not later than 12 months before expiration of the appointment for employees in PY5 and PY6 (tenure year)
c. In the event of failure to provide notice of non-renewal required by Article 20.8.b. above, the employee shall receive a probationary appointment for one academic year.

d. If an employee fails to submit an evaluation portfolio, that employee shall not be rehired in a tenure-track position. However, an employee may withdraw a portfolio at any stage of the evaluation process and shall be given the renewal notice required in Article 20.8.b. above.

e. Employees bringing prior years of experience (per Articles 20.9.e. and 20.10.g.) shall submit their Scholarly/Professional Activities record from that year or those years in PY3 or PY4, as appropriate.

20.9. Procedures Unique to Promotion Decisions

An employee shall be eligible for consideration for promotion if she/he meets the following requirements:

a. Degree or Educational Requirement

   (1) All degrees must be awarded by and all graduate study completed at a regionally accredited institution, or equivalent from an international accrediting body.

   (2) For promotion to the rank of Associate Professor, an employee must possess a terminal degree or an appropriate professional degree/credential or meet the educational requirement for tenure.

   (3) For promotion to the rank of Professor, an employee must possess a terminal degree or an appropriate professional degree/credential or meet the educational requirement for tenure.

b. Time of Application

   (1) An employee may apply for promotion to Associate Professor in her/his fourth or fifth year of full-time service at the University at the rank of Assistant Professor if hired before September 1, 2007. Faculty hired after September 1, 2007, shall apply for promotion to Associate Professor in the same year that she/he applies for tenure.

   (2) An employee may apply for promotion to the rank of Professor in her/his fifth year of full-time service at the University at the rank of Associate Professor.

c. Promotion on the Basis of Exception

   An employee who does not satisfy the degree requirements or educational requirements for promotion may apply on the basis of exceptional Teaching/
Primary Duties or exceptional Scholarly/Professional Activities. Department Criteria will specify exceptional performance in each of the two areas. In addition to exceptional performance in the employee’s chosen area, the employee will be expected to meet or exceed regular promotion requirements in each of the two other areas of responsibility.

d. The number of employees who hold a particular rank at the University shall not be grounds for denial of a promotion to an eligible employee who has otherwise satisfied evaluation criteria.

e. Applying Prior Years of Experience Toward Promotion

(1) An employee who has been employed full time in a tenured or tenure-track position at a regionally accredited baccalaureate degree-granting institution of higher education (or equivalent from an international accrediting body) may elect to have counted toward promotion to Associate Professor one year or two consecutive years of full-time employment of the employee’s choice if the year(s) of previous employment occurred within the five years immediately prior to one’s initial appointment to a position at Western Illinois University. Faculty who count previous years of employment toward promotion may have their Scholarly/Professional Activities record during that same one year or two years considered as part of their performance.

(2) Employees should discuss their interest in applying prior years of experience toward promotion with their department chair prior to initiating the application process.

Promotion applicants who elect to count previous years of employment toward promotion may do so with the understanding that only the Scholarly/Professional Activities record is entered into the promotion and retention portfolios.

The Scholarly/Professional Activities record included in the promotion portfolio will be those activities that occurred during the specified period of time identified in the Academic Vice President’s letter approving the faculty member’s request to count previous years of employment toward promotion.

(3) An employee applying prior years of experience toward promotion must simultaneously apply those same prior years of experience toward retention and tenure.

(4) An employee who is eligible for applying prior year(s) of employment toward promotion must notify the Academic Vice President in writing by September 1 of the employee’s PY2.

f. A tenured/tenure-track employee may be granted, upon request, a one-year extension of the evaluation period for promotion as a consequence of exceptional
circumstances. Exceptional circumstances may include, but are not limited to, disruption of research facilities, birth or adoption of a child, need to devote substantial time to the care of a seriously ill or injured person, significant personal illness or injury, or some other severe domestic issue. Such requests may be granted by the Academic Vice President in consultation with the dean and the department chair. Because the extension of the evaluation period is intended to address exceptional circumstances, such an extension shall not be granted merely because a faculty member has failed to meet the Department Criteria. Once the promotion application is submitted, it shall be evaluated on its own merit, in relation to the Department Criteria. No more than one extension of the probationary period shall be granted. The request must be made within one year after commencement of the exceptional circumstance, and prior to the submission date for the promotion application. The employee will be able to submit any work accomplished during the one-year extension period in any future retention, promotion, or tenure portfolio, or PAA application.

g. An employee who has been hired in at the rank of Associate Professor and been granted tenure upon hire per the procedures in Article 20.10.d. or 20.10.e. may elect to have considered toward promotion to Full Professor any Scholarly/Professional Activities that occurred during their time of previous employment in the five years immediately prior to initial appointment to a position at Western Illinois University. There is an expectation that a reasonable level of Scholarly/Professional Activity will have been performed since being employed at Western Illinois University in addition to activity performed in prior years.

Employees eligible to apply prior years of experience under this provision are also subject to the eligibility requirements under Article 20.9.a. (Degree or Educational Requirement) and Article 20.9.b. (Time of Application) before they can apply for promotion to Full Professor.

20.10. Procedures Unique to Tenure Decisions

a. Tenure is a status awarded by the Board of Trustees upon the positive recommendation of the University President following an extensive evaluation process. Tenure is a relationship of continuing commitment between the University and the employee, benefiting both.

b. Each tenured employee shall have continuous employment at the University unless such employee resigns, retires, is laid off pursuant to Article 24, or is terminated for adequate cause.

c. Tenure shall not be acquired automatically by length of service or prior promotion. Tenure shall be granted and may be acquired only by specific action of the Board after receipt of a specific recommendation of the University President. Tenure shall be in a department.

d. Tenure may be granted to a member of the bargaining unit described in Appendix A at either the time of initial appointment or within one year following the date
of initial appointment—if the person was tenured at her/his previous institution—following a positive recommendation by the department, the department chair, the dean, and the Academic Vice President, and upon recommendation of the University President and approval by the Board.

The process of acquiring the department’s recommendation will be led by the DPC, upon notification by the department chair. The DPC will be responsible for communicating the issue of tenure upon initial appointment to the department, making the candidate’s record available for review by department faculty, collecting and counting the votes, and communicating the vote’s outcome to the department chair and the department faculty.

The department faculty recommendation will be determined by a majority vote. Those eligible to vote on the department’s recommendation will be all Unit A faculty in the department in which a prospective candidate is applying for tenure upon initial appointment. The department faculty will be provided a reasonable period of time to review the candidate’s record and to vote.

The department faculty, department chair, dean, Academic Vice President, and University President will base their recommendations upon the candidate’s record of Teaching/Primary Duties, Scholarly/Professional Activities, and Service Activities. The candidate’s record, in the form of a curriculum vita, will be reviewed. A letter from the institution where tenure was previously granted will be part of the documentation to support acquiring tenure at Western Illinois University. The candidate for tenure may offer additional material for review, as desired.

e. Tenure may be granted to an individual not a member of the bargaining unit described in Appendix A, either upon initial appointment or subsequently, following a recommendation by the department, the department chair, the dean, and the Academic Vice President, and upon a positive recommendation of the University President and approval by the Board.

The process of acquiring the department’s recommendation will be led by the DPC, upon notification by the department chair. The DPC will be responsible for communicating the issue of tenure upon initial appointment to the department, making the candidate’s record available for review by department faculty, collecting and counting the votes, and communicating the vote’s outcome to the department chair and the department faculty.

The department faculty recommendation will be determined by a majority vote. Those eligible to vote on the department’s recommendation will be all Unit A faculty in the department in which a prospective candidate is applying for tenure upon initial appointment. The department faculty will be provided a reasonable period of time to review the candidate’s record and to vote.

The department faculty, department chair, dean, Academic Vice President, and University President will base their recommendations upon the candidate’s
If the candidate earned tenure at her/his previous institution, then the candidate’s record, in the form of a curriculum vita, will be reviewed. A letter from the institution where tenure was previously granted will be part of the documentation to support acquiring tenure at Western Illinois University. The candidate for tenure may offer additional material for review, as desired.

If the candidate did not earn tenure at her/his previous institution, then the candidate’s record, in the form of an evaluation portfolio containing evaluation materials required by the Department Criteria and organized according to the University guidelines will be reviewed. The candidate for tenure may offer additional material for review, as desired.

d. An employee shall be eligible to apply for tenure if she/he holds at least the rank of Assistant Professor and meets the following requirements. An employee will be considered for promotion and tenure in the same year (unless hired as an Associate Professor):

   (1) Degree or Educational Requirements

       Faculty must meet the degree or educational requirements stipulated in their department’s criteria. An employee who does not satisfy the degree or educational requirements for tenure may apply for consideration on the basis of exceptional Teaching/Primary Duties or exceptional Scholarly/Professional Activities. Criteria for exceptionality in the above areas shall be stipulated in the Department Criteria. In addition to exceptional performance in the employee’s chosen area, the employee will be expected to meet or exceed regular promotion requirements in each of the two other areas of responsibility.

   (2) Time of Application

       (a) An employee may not apply for tenure before her/his PY6. The employee shall apply for promotion to Associate Professor at the same time that she/he applies for tenure.

       (b) All employees shall be placed in PY1 at the time of initial appointment.

g. Applying Prior Years of Experience Toward Tenure

   (1) An employee who has been employed full time in a tenured or tenure-track position at a regionally accredited baccalaureate degree-granting institution of higher education (or equivalent from an international accrediting body) may elect to have counted toward tenure one year or two consecutive years of full-time employment of the employee’s choice if the year(s) of previous employment occurred within the five years immediately prior to one’s
initial appointment to a position at Western Illinois University. Faculty who count previous years of employment toward tenure may have their Scholarly/Professional Activities record during that same one year or two years considered as part of their performance. After successful completion of PY1, an employee may elect to be placed in a higher PY as follows:

<table>
<thead>
<tr>
<th>Previous Years Experience Counted</th>
<th>WIU Probationary Year</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>3</td>
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<td>2</td>
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(2) Tenure applicants who elect to count previous years of employment toward tenure may do so with the understanding that only the Scholarly/Professional Activities record is entered into the tenure and retention portfolios.

The Scholarly/Professional Activities record included in the tenure portfolio will be those activities that occurred during the specified period of time identified in the Academic Vice President’s letter approving the faculty member’s request to count previous years of employment toward tenure.

The PY3 or PY4 retention portfolio for those who elect to be placed in a higher probationary year per this Article will be comprised of full documentation, as required by the new PY (PY3 or PY4), for all activities occurring in the first year of employment at Western Illinois University.

(3) An employee applying prior years of experience toward tenure must simultaneously apply those same prior years of experience toward retention and promotion to Associate Professor.

(4) An employee who is eligible for placement in a higher PY and who elects to be placed in a higher PY must notify the Academic Vice President in writing by September 1 of the employee’s PY2.

h. In the event that an eligible employee does not submit her/his application for tenure in PY6, the employee shall receive a terminal contract for the next academic year. An employee may withdraw her/his tenure application at any time during the tenure evaluation process.

i. If an employee is not notified of a decision denying tenure by the University President on her/his tenure application by June 1 and by the Board after the next meeting following June 1, the employee shall be granted a probationary contract for the subsequent academic year but shall not thereby receive tenure. An eligible employee in her/his PY6 who is not awarded tenure by action of the Board shall receive a terminal contract for the subsequent academic year.

j. A tenure-track employee may be granted, upon request, a one-year extension of the evaluation period for tenure as a consequence of exceptional circumstances. Exceptional circumstances may include, but are not limited to, disruption of
research facilities, birth or adoption of a child, need to devote substantial time to the care of a seriously ill or injured person, significant personal illness or injury, or other severe domestic issue. Such request may be granted by the Academic Vice President in consultation with the dean and the department chair. Because the extension of the evaluation period is intended to address exceptional circumstances, such an extension shall not be granted merely because a faculty member has failed to meet the Department Criteria. Once the tenure application is submitted, it shall be evaluated on its own merit, in relation to the Department Criteria. No more than one extension of the probationary period shall be granted. The request must be made within one year after commencement of the exceptional circumstance and prior to the submission date for the tenure application. The employee will be able to submit any work accomplished during the one-year extension period in any future retention, promotion, or tenure portfolio, or PAA application.

20.11. Requirements and Procedures with Regard to Student Evaluations

a. Departments shall develop standardized procedures for administering student evaluations for all courses that are evaluated. Faculty being evaluated are not to be in the room at the time of the evaluation, and evaluations should be returned to the department office directly or by mail by a disinterested party such as a proctor or responsible student. Family members of faculty being evaluated cannot serve as proctors. If necessary, faculty may transport completed evaluations that have been placed in a sealed envelope by a proctor or responsible student with the seal signed by the proctor or student.

b. Faculty shall be evaluated on the basis of more than one measurement of teaching effectiveness. Numerical scores on student evaluations shall not be the sole determinant in retention, tenure, promotion, and four-year appraisal recommendations. Evaluators should not render negative personnel decisions based on one or a few low scores or one or a few classes, but, rather, evaluators should interpret numerical scores from student evaluations in terms of clear and consistent “patterns” that have developed over the appropriate evaluation period.

c. Faculty are not to receive the results of student evaluations until after grades have been submitted.

d. Faculty who question the accuracy of the transcription of student comments may request that the DPC chair and/or department chair review the original evaluations. Student evaluations are the property of the University. Faculty will be provided with a copy of evaluation scores and all transcribed comments.

e. Department Criteria will explain the role of student evaluations in personnel recommendations.

f. Faculty shall submit student evaluations from all courses taught except in the following cases: Evaluations for Summer Session and intersession courses are
optional unless required by Department Criteria. Evaluations for Tutored Study classes are optional.

g. Online courses and other courses offered through Distance Education are to be evaluated based on guidelines provided in Department Criteria (see Article 20.16. below).

20.12. **Procedures Unique to Four-Year Appraisal for Tenured Employees**

a. There will be an appraisal every four years required of all tenured faculty not applying for promotion. The appraisal cycle will begin in an employee’s fourth year after being awarded tenure. It will be repeated every fourth year after that, except as in Article 20.12.d. below.

b. The purpose of this process is to identify areas of strength and weakness and to improve performance. The process is not to be construed as a review of either individual or collective tenure. The evaluation shall consist of the review of the following by the department chair:

   (1) Student evaluations (see Article 20.11. above)

   (2) Materials submitted by the employee in outline form to substantiate a reasonable level of performance in the areas of Teaching/Primary Duties, Scholarly/Professional Activities, and Service Activities

   (3) Materials in the employee’s personnel file

c. Following review of the documents, the department chair shall write a brief evaluation statement and send it to the dean for review and to the Academic Vice President for inclusion in the employee’s personnel file. A copy of the evaluation statement shall be sent to the employee, who may attach a written response to the evaluation statement for inclusion in the personnel file.

d. If there is documented evidence of a need for improvement, the department chair shall meet with the faculty member in order to identify strengths and weaknesses and, if necessary, to develop an appropriate Professional Improvement Plan. After this meeting, the department chair may write such a plan and shall allow a reasonable period of time for its completion. The faculty member has a professional obligation to participate in the development and implementation of such a Professional Improvement Plan. One year after the employee receives the Professional Improvement Plan, the employee will be evaluated again. If a faculty member successfully completes her/his Professional Improvement Plan, then a new appraisal cycle will begin immediately after that evaluation.

e. If, during the four-year cycle, a department chair or dean has documented evidence that there is a problem with a faculty member’s performance, the department chair will discuss the situation with the faculty member and, if necessary,
develop with the employee’s input an appropriate Professional Improvement Plan.

f. If a faculty member fails to participate in the development and implementation of a Professional Improvement Plan, a sanction may be initiated (see Article 21.5.c.).

20.13. **Procedures Unique to PAA Points System**

a. The PAA Points System is an organizational reward system designed to offer monetary incentive for strong (tenured/tenure-track) faculty performance across the three areas of responsibility: Teaching/Primary Duties; Scholarly/Professional Activities; and Service Activities.

The mechanism for obtaining monetary reward is an objectively scored points system. For each eligible activity performed by a faculty member, points will be awarded. Those points will accumulate across years until the faculty member exceeds a threshold of total number of points required to earn a PAA.

b. All tenured/tenure-track faculty, beginning with PY1, are eligible for the PAA. Faculty may submit their points for a PAA every year of their employment, and the PAA will be awarded whenever the threshold of 35 points is met (with eight points in each category or when 55 points are earned overall). Points applied toward a PAA must be submitted on or around September 1 the year after they were earned in order for them to count toward a PAA.

To earn a PAA, a faculty member needs to fulfill one of the following two conditions:

(1) Meet or exceed 35 total points with a minimum of eight points in Teaching/Primary Duties, eight points in Scholarly/Professional Activities, and eight points in Service Activities.

(2) Meet or exceed 55 points, regardless of the number of points in each category.

There is no limit to the number of PAAs earned over the course of a faculty member’s career. A faculty member’s points continue to accumulate from one year to the next until the two conditions above are met and the person earns a PAA. In the following year, the faculty member’s pool of points would be set back to zero, and the process toward earning a PAA would begin again.

c. Earning a PAA will result in a stipend paid per month going toward the faculty member’s base salary (see Article 29).

d. Activities applied to the PAA will include activity from the first day of the fall semester to the day preceding the beginning of the next fall semester.
PAA Annual Points Record forms will be distributed annually on or around September 1 for use in recording activities for the preceding academic year.

An individual faculty member may choose not to participate in the PAA system in any given year. If a faculty member chooses not to submit a PAA Annual Points Record form in any given year, then her/his recorded accumulated points to date will continue to remain in effect until the faculty member re-engages in the PAA system. If the faculty member chooses to participate, however, it is the faculty member’s responsibility to fill out a PAA Annual Points Record form by the designated due date listing her/his eligible activities, and then the chair of the DPC, the department chair, and dean will each have an opportunity to view the PAA form submission and to sign off. Each examiner’s signature indicates that the activity was indeed performed and, at the very least, the faculty member’s participation met reasonable expectations for any individual performing the task. Each examiner will also determine if bonus points were applied appropriately. The department shall determine what minimal documentation, if any, should accompany the PAA Annual Points Record form submitted by the faculty member. If the three examiners are in concurrence about the accuracy of the PAA form contents, then the points are awarded to the faculty member. Any examiner may request further materials, explanation, or documentation of an activity listed on the PAA Annual Points Record form.

e. If there is disagreement between the DPC chair and department chair, an appeal will go to the dean and the CPC chair for resolution. Any faculty member who disagrees with examiners’ alteration(s) on his/her PAA form will be allowed to submit an appeal to the Academic Vice President, who will make the final determination in those disputed cases. The Academic Vice President must notify both the member and UPI Chapter President of the basis for the decision. If a faculty member wishes to submit such an appeal, then the faculty member should proceed as follows:

(1) Send a written letter to the Academic Vice President, specifying the item(s) in dispute and the faculty member’s justification. The faculty member will have at least one week to write the letter of appeal.

(2) In the appeal letter, the faculty member has the option of directly asking any examiner for an explanation of the basis for his/her alteration of the PAA form. If asked, an explanation shall be provided.

(3) If a faculty member wishes a written response from an examiner, then the faculty member should send a written request by the date specified in the Retention/Tenure/Promotion/PAA calendar. Examiners receiving written requests are expected to respond to the faculty member by the date specified by the calendar.

f. A faculty member carrying an ACE load in the range of 18 to 22 ACEs will have each ACE in excess of 18 credited toward her/his pool of points in the Teaching/Primary Duties area. Overload will be paid to those tenured/tenure-
track faculty with an ACE load in excess of 22 ACEs, or faculty may choose to accept PAA points rather than overload ACEs/pay. Fractions of ACEs may be converted (over 18 ACEs) to fractions of points. If the total points equal over 34 points on the PAA Annual Points Record form, the fraction may be rounded up to the higher number.

g. Because faculty receive a separate contract during the Summer Session, work done in the Teaching/Primary Duties area during the summer for which an employee receives ACEs or pay will not count toward the PAA. However, work done in the Scholarly/Professional Activities and Service Activities areas may count toward the PAA.

h. Although there may be a relation between activities counted in the PAA system and those recorded for retention, promotion, and tenure (RPT) processes—that is where the similarity ends. The existing RPT procedures, including multiple evaluators engaged in academic judgment of RPT applications, are separate and distinct from the PAA Points System.

While the PAA does not affect the RPT process, the individual faculty member must have received a determination through the evaluation process on her/his most recent promotion or tenure evaluation that the faculty member meets tenure requirements in Teaching/Primary Duties in order for that employee to be eligible to apply for a PAA.

Faculty members applying for a PAA before tenure must submit documentation that demonstrates a performance level commensurate with that of tenure in the Teaching/Primary Duties area. For faculty members applying for a PAA before tenure, the contents of the most recent retention portfolio will serve as documentation. Faculty members may provide additional documentation at the time they submit their final PAA document (after attaining 35 points or 55 points, as appropriate) if they choose.

For tenured faculty members applying for a PAA four years or more after promotion, it is assumed that the faculty member has met tenure requirements for Teaching/Primary Duties for the purpose of the PAA, unless a faculty member has been assigned or is in the process of completing a Professional Improvement Plan to address identified weaknesses in Teaching/Primary Duties as established under procedures in Article 20.12.d. or 20.12.e. Once the faculty member has successfully completed a Professional Improvement Plan, per procedures in 20.12.d., then she/he is eligible to be awarded a PAA.

The determination about a faculty member’s Teaching/Primary Duties performance level, relative to tenure requirements is necessary only in a year when the faculty member believes that she/he has met or exceeded the points threshold to earn the PAA.

The determination process for PAA awards is not to be construed as a review of either the individual or collective tenure.

a. The Academic Vice President, in consultation with the Union Chapter President, shall develop *Instructions and Template for PAA Implementation* that will include instructions to departments on how to develop PAA criteria, how points will be assigned, the timetable, and also a list of activities that all departments shall include in their *Department PAA Activities* document.

b. Given the parameters set forth in the *Instructions and Template for PAA Implementation*, each department is responsible for identifying the particular faculty activities that will count in the various categories in each of the three areas of responsibility (Teaching/Primary Duties, Scholarly/Professional Activities, and Service Activities). The department will also specify activities that are eligible for “Bonus Points.” Points earned for activities listed in the Bonus Points category may be applied to meet the minimum number of points required in the appropriate area of responsibility (Teaching/Primary Duties, Scholarly/Professional Activities, or Service Activities), so bonus points for activities performed in the appropriate area (as determined by the faculty member, department chair, and DPC chair) may be used to meet or exceed the 8-point requirement in the appropriate area(s) of responsibility listed above. An employee may request points for activities be applied to any of the three areas if justified and approved by the department chair and DPC chair. These points may be awarded for an activity not listed under Teaching/Primary Duties, Scholarly/Professional Activities, or Service Activities, or they may be additional points given for extraordinary performance. Under Bonus Points, a faculty member who receives ACEs may also receive points based on the level of responsibility or if a major contribution is made.

Each activity identified on the *Department PAA Activities* document must fulfill the following criteria in order to be functional for PAA purposes:

1. The activity, as defined, must lend itself to a dichotomous scoring system (i.e., the activity was accomplished and is to be assigned points OR the activity was not accomplished and is not to be assigned points)

2. The activity, as defined, must lend itself to an objective scoring system (i.e., it cannot be open to subjective judgment)

3. To the degree possible, every activity should fall well within the faculty member’s realm of personal control (i.e., the activities should represent opportunities that are available to every individual)

c. The department chair in collaboration with the DPC chair and the department faculty shall, after designating activities in Teaching/Primary Duties, Scholarly/Professional Activities, and Service Activities, for which points may be awarded for the PAA, develop the *Department PAA Activities* document. A minimum of one departmental meeting will be devoted to seeking input from faculty and to the development of the *Department PAA Activities* document. Minutes will
be taken at this meeting. All Unit A faculty members of the department/unit will be given the opportunity to vote to recommend to approve or disapprove the final document. Upon completion, the department chair and the DPC chair will forward the proposal, the results of the vote, and a summary of the faculty comments to the appropriate dean and CPC. After reviewing the proposed document, the faculty vote, and the faculty comments, the dean and CPC will forward the department chair’s and DPC chair’s recommendations, the faculty vote, and the faculty’s comments, together with the dean’s and CPC’s recommendations, to the Academic Vice President. The dean’s and CPC’s recommendations will simultaneously be copied to the department chair and chair of the DPC. Final approval rests with the Academic Vice President after discussion with the appropriate deans and with the Union Chapter President. Approved copies will be sent to deans, department chairs, faculty, and the Union Chapter President.

d. The *Department PAA Activities* document shall remain in effect for the duration of this Agreement, unless modified by the department faculty and department chair, recommended by the dean, and approved by the Academic Vice President after discussion with the Union Chapter President. Modifications when necessary shall follow the same procedures discussed in the preceding Article 20.14.c.

20.15. **Annual Report**

Tenured faculty will turn in to the department chair an annual report of their activities if they have not turned in a *PAA Annual Points Record* form for a given year. The department chair may choose to write to the faculty member an informal response to this report but, if written, the response will not go into the faculty member’s personnel file.

20.16. **Procedures Unique to Distance Education Courses**

a. For the purpose of evaluating a faculty member’s CODEC, web-based, or satellite-broadcast teaching, on-campus and off-campus sections of the same class will be evaluated by taking into account the different methods of delivery. The intent is that inherent instructional differences between Distance Education and regular classes should be taken into account in a faculty member’s evaluation.

b. Any department offering Distance Education courses shall

(1) establish appropriate criteria for the evaluation of Distance Education teaching.

(2) identify alternative evaluation methods of Distance Education teaching (such as separate forms for Distance Education classes or for evaluating of the technology) consistent with the category used.
c. The following items may be taken into account in developing the Department Criteria/methods for evaluating the teaching of Distance Education courses:

(1) Type of Distance Education

(2) Number of remote sites for CODEC and satellite broadcast, and number of students at each site

(3) Types and reliability of support to students at remote sites

(4) Frequency of technical “downtime”

(5) Faculty member’s prior experience with this type of Distance Education teaching or offering of this course at a distance

20.17. Multi-Department Assignments

a. Multi-department assignments shall take place only upon initial hire or when program needs require such assignments and when the employee is qualified for the assignment and has been consulted about that assignment.

b. No employee shall be evaluated for retention, promotion, tenure, four-year appraisal, or PAA by more than one department, specified at the time of appointment or transfer.

c. An employee with duties assigned outside the evaluating department shall submit evaluation materials relevant to those duties; these materials may include documentation of Scholarly/Professional Activities or Service Activities. Such material will be considered commensurate with the employee’s assignment outside the evaluating department.

d. Evaluators will use the approved Department Criteria of the evaluating department to evaluate assignments outside of the department.

ARTICLE 21
SANCTIONS
UNIT A

21.1. Sanctions may be imposed for violations of employment obligations or professional ethics as specified in Board or University policy, rules, and regulations or in this Agreement.

The University subscribes to the principles of progressive discipline, although there may be instances when summary action is justified (see Article 21.7. below).

21.2. When a sanction is being considered, a letter stating the problem (with any documentation), identifying possible sanctions, and providing notification that a formal