

**Operating Paper**  
**Department of Psychology**

Approved 12/1/98  
(Minor Revisions Approved 2/1/2005)

## **Purpose**

The purpose of the Operating Papers is to set forth the manner in which Faculty members are involved in the governance of their department and college. This document supersedes all previous operating papers.

## **Mission statement**

The Psychology Department is dedicated to excellence in advancing the mission of SIUC and its College of Liberal Arts in teaching, research, and service. The Department reflects the national and international character of Psychology as both a science and a profession. Demand for undergraduate psychology courses is extremely strong from majors as well as students and faculty from other disciplines. Faculty are directly involved in instruction to meet this demand by promoting students' understanding of empirical methods, by utilizing a rich tradition of thought, and by providing current knowledge about human functioning. Demand for graduate education too is exceptionally strong, and the Department sustains nationally recognized doctoral specializations in Clinical, Counseling, and Experimental Psychology, each preparing scientist-practitioners to function in a variety of contexts. Faculty are dedicated to research, to generating new knowledge and understanding, and to involving students in this enterprise. They disseminate their work nationally and internationally and influence the direction of their area by presenting work at conferences and sustaining a high rate of publication. Faculty also provide service to the discipline as reviewers, editors, and organizational leaders, to the department, college, and university through administration and governance, and to southern Illinois through applied research and human service.

## **Definition of Voting Faculty**

Unless otherwise specified (see Tenure and Promotion Guidelines and Procedures), faculty holding tenured or tenure-track positions and non-tenure-track faculty holding a position as program director or area head in the Department of Psychology shall have a formal vote in departmental decisions. Information, including votes in "straw polls", may be sought from others including cross-appointed faculty, term appointments, and students. A quorum consists of 50% of the voting faculty. In the event that a departmental faculty member cannot attend a meeting, but wishes to cast a ballot regarding an important issue, a proxy vote may be given to the Director of that faculty member's division after discussion with such director which provides evidence that the issue has been carefully and thoroughly reviewed.

## **Merit Criteria and the Annual Review Process**

In evaluating faculty merit, Psychology utilizes an explicit, highly elaborate, quantified evaluation system, termed the Annual Merit Points system (AMPs). Early in Spring semester the Chair solicits information from faculty regarding achievements during the previous calendar year. These data, along with updated CVs, are used to generate the following indices: (a) a raw AMPs score (sum of merit points), (b) a corrected AMPs score (adjusted for % departmental assignment), (c) an IF ratio that reflects the individual's productivity relative to other faculty in the Department, and (d) a three-year running average IF ratio (IF3). The distribution of IF3 ratios yields the distribution of merit salary increases. Additionally, AMPs data and updated CVs form the basis for an annual written review of non-tenured faculty by the department Chair. The written annual review is discussed individually with each non-tenured faculty member in an annual face-to-face meeting prior to forwarding the review to the Dean.

The AMPs survey (last revised 10/15/98) is designed to provide a comprehensive yet workable assessment of diverse faculty accomplishments (see Appendix A for details). The system is fair in several respects.

- It is open to revision.
- It is complete: most relevant activities have been included (see below).
- Merit points assigned to diverse activities reflect an ongoing consensus.
- Points reflect responsibility (e.g., shared authorship).
- Points reflect quality (e.g., teaching evaluations, journal status).
- Points reflect departmental benefits (e.g., amounts of grant awards).
- Merit increases are based on ongoing productivity (3-year moving average of IF).

Relevant data include the following.

### **A. Teaching**

1. Courses taught and evaluations thereof
2. Guest lectures
3. Other Direct Teaching (Chairing theses, dissertations, UG Honors projects, 392, prelim. exam committees)
4. Indirect teaching (e.g., thesis, dissertation committees)
5. Unusual teaching contributions

**B. Scholarship**

1. Publications (journal articles, chapters, edited books, books)
2. Conference presentations
3. Grant submissions (internal & external)

**C. Impact**

1. Adjudication (e.g., journal editor, associate editor, reviewer; program committee, advisory panel)
2. Honors (professional or scholarly)

**D. Service/Department Welfare**

1. Committees (department, college, university, Faculty Union)
2. Volunteer activities related to discipline
3. Grants (applications & awards that contribute to department welfare)
4. New course preparation
5. Administration

## **Tenure and Promotion Guidelines and Procedures**

### **A. Calendar**

1. Each year, the Chair of the department will notify faculty of the college and departmental calendars for tenure and promotion considerations, at least one month before the review process begins. This notification will include instructions to the faculty concerning criteria and procedures for consideration for tenure or promotion.

### **B. Eligibility**

1. Promotion. A faculty member may be considered for promotion whenever the Chair, the Promotion Committee, or the faculty member involved requests such consideration. In any event, all assistant and associate professors will be considered for promotion no less frequently than every fifth year in rank. The written request of any faculty member who wishes *not* to be considered for promotion in any one year will be honored.
2. Tenure. The University tenure document now requires a decision after five years in rank for assistant professors and after three years in rank for associate professors.

### **C. Procedure**

1. The relevant Promotion and Tenure Committee makes all departmental decisions concerning Promotion and Tenure. These decisions are made by secret ballot after review of the candidate's qualifications. After a decision is reached, the Chair meets with the candidate to convey the committee's decision and to discuss the recommendation.
2. The composition of Promotion and Tenure Committees is as follows.
  - a. For consideration of promotion from Assistant to Associate Professor, the Promotion Committee consists of all Associate and Full Professors in the Psychology Department. For promotion to Professor, the Committee consists of all Full Professors tenured in the Psychology Department.
  - b. When a recommendation for promotion to the rank of Associate Professor or Professor is made, and tenure is to be conferred upon promotion, the tenured faculty members shall be polled concerning a recommendation for tenure, and only if tenure is recommended will the recommendation for promotion (with tenure) be forwarded for further consideration.
  - c. Occasionally, circumstances arise in which an individual who typically would be a member of the tenure and/or promotion committee will exclude her or himself from the departmental process and decision. Such circumstances include: (i) cases where, due to an administrative position (defined as <50% time assigned to Psychology) a member of the committee holds, he/she has a direct administrative influence at a different stage of the tenure and/or promotion process, (ii) cases where a decision regarding tenure and/or promotion is being made regarding one's spouse or domestic partner.

3. Each candidate has the responsibility for collecting and organizing the material to be evaluated by the committee. The dossier submitted by the candidate should be prepared with attention to departmental guidelines (Sections D, E, and F).

#### **D. Guidelines for Promotion and Tenure**

1. Minimum Standards for Promotion and Tenure
  - (a) Departmental minimum standards for promotion are those stated in the Faculty Handbook and SIUC/Faculty Association Contract.
2. General Principles
  - (a) Tenure and promotion in academic rank should reflect a person's excellence as a psychologist and stature as a member of the Psychology Department. In assessing a person's excellence and stature, all activities related to the science and profession of psychology are potentially relevant.
  - (b) There are three kinds of activities that, because of their importance to the department, are relevant to a consideration of promotion and tenure.
    - (i) Teaching. Any activity related to the dissemination of established knowledge.
    - (ii) Scholarship. Any activity related to the discovery and dissemination of new knowledge.
    - (iii) Professional Activities. Any activity related to the provision of psychological services, including within-departmental administration of programs.
  - (c) No recommendation for promotion or tenure will be made without evidence that the person has met a minimum level of competency in each activity (from 2.b. above). In assessing the contributions of individual faculty members for tenure and promotion, the department will consider the specific duties officially allotted to each individual for activities listed in Section 2.b.
  - (d) Some departmental activities, such as advisement, service on committees, etc., are not to be taken as justification for promotion or tenure. However, a recommendation for promotion or tenure should be withheld if there is evidence of a person's refusal to accept some responsibility for such activities.
  - (e) To justify a recommendation for promotion or tenure there must be competence in all areas of Section 2.b. above and evidence of excellence with respect to scholarship. The greater the level of overall excellence that is demonstrated by a person, the more rapidly should tenure and promotion be recommended.
  - (f) To determine competence and excellence, a person's activities must be evaluated as objectively as possible by those best qualified to judge them. Evaluations of scholarship by individuals not associated with SIUC are to be preferred, although internal evaluations should not be excluded.
  - (g) Criteria for promotion to Associate Professor and to Professor should be qualitatively different. Promotion to the rank of Professor should reflect a strong and sustained record of research, teaching, and service accomplishments over the individual's career, including work completed since promotion to Associate Professor. In addition to sustained output, there should be clear evidence of excellence, impact, and leadership. Thus for research, there must be evidence, not only of ongoing production of new knowledge, but of influence on the field of

specialization. Such evidence routinely would include letters from leading independent scholars documenting the quality of the candidate's research, as well as its impact on the national or international scene. Publication in high quality, peer-reviewed journals is expected. This should be complemented by work that seeks to synthesize research and influence its future direction (e.g., reviews, successful federal grant proposals, chapters, invited publications and presentations, or books). Other relevant indicators of excellence might include a record of external funding, honors in recognition of scholarship, empirical evidence of impact (e.g., citations), and so forth. Evidence of a solid contribution to the departmental teaching mission should be documented through evaluations, course materials developed, and peer or student reviews. Particularly important is evidence of research supervision (thesis/dissertation committee service, chairing), innovative teaching methods, or curricular enhancement (e.g., new courses). The successful candidate should have a record of service to the department, college, university, community, or profession. The service routinely would include good departmental citizenship, but this should be complemented by involvement in the life of the university (e.g., CoLA Council, Graduate Council, special committees), the community (e.g., sharing psychological knowledge or expertise with community groups), and/or the discipline (e.g., editorial work, program review, holding offices in professional organizations). Again, evidence of leadership and impact, reflected in the nature of the committees and scope of participation, is important.

#### **E. Application of Guidelines**

1. The department Chair is responsible for providing all individuals with a reasonable opportunity to meet the levels of competence that are required for promotion and tenure.
2. The ultimate determination of an individual's achievements and level of competence or excellence is the function of the Tenure and Promotion Committee.

#### **F. Information Relevant to the Application of the Guidelines**

1. Information to be supplied by the Candidate. In preparing a dossier, the candidate should present any materials that the candidate deems relevant to the assessment of degree of competence in the activities honored by the department (Section D.2.). Listed below are types of information the candidate should consider in preparing a dossier.
  - (a) General
    - (1) A curriculum vita in the form approved by the department and the College of Liberal Arts is essential. Additional information, by categories, may include any or all of the following.
  - (b) Scholarship
    - (1) A brief statement of past and current research directions.
    - (2) Editorial policies (rejection rates) of journals in which material is published and program policies for meetings at which papers are presented.

- (3) Scholarly community reactions to published work including (a) copies of editorial comments received, (b) citations list, (c) quotes from citations, and (d) copies of reviews of published books.
  - (4) Copies of publications and research grant applications.
  - (5) Service as editorial reviewer, including grants applications. (List of activities; if ad hoc reviewer, copies of communications related to the candidate's recommendations.)
  - (6) Letters of evaluation of the candidate's research from senior researchers at other institutions. The candidate wishing to include such information should first determine the willingness of a researcher to provide an evaluation, then request that the Chair formally solicit such an evaluation.
- (c) Teaching
- (1) A brief statement of goals and strategies in teaching, including a self-evaluation of progress made in reaching these goals.
  - (2) Evidence of expertise in teaching, such as the following:
    - (a) Evaluations of teaching by students, colleagues, or experts teaching.
    - (b) Copies of publications and papers concerning teaching, with information concerning editorial policies of the journals or program policies for meetings at which papers are presented.
    - (c) Information concerning grants for the development or application of teaching methods.
    - (d) Awards and prizes received for teaching.
  - (d) Professional Activities. Service activities are those in which the candidate has engaged as a professional psychologist, having provided services considered to be a major part of the competency of a professional psychologist.
    - (1) Brief statement of the nature and objectives of the service activities in which the candidate has engaged.
    - (2) Peer Review
      - (a) Professional status (e.g., Diplomate status)
      - (b) Written comments from reviewers of training programs.
      - (c) Evaluations by peers who have observed professional activities directly.
      - (d) Selection as high-level contributor (e.g., Board Member) within a service-providing agency.
      - (e) Workshop participation, invitations.
      - (f) Receipt of grants for the provision of services.
      - (g) Awards or prizes received for professional service.
    - (3) Client Satisfaction
      - (a) Comparative data from client satisfaction scales.
      - (b) Evaluations by groups or individuals for whom service is provided.
      - (c) Evaluations by knowledgeable third parties (e.g., referral sources)
    - (4) Outcome Evaluation
      - (a) Measures of change in the behavior of clients or other beneficiaries of services.
- (e) Within-Department Administration of Programs
- (1) Brief statement of objectives and accomplishments during tenure in departmental administrative post.

- (2) Evaluations of administrative performance by faculty and students.
- (3) Evaluations of program or departmental functioning by outside reviewers or site visitors.

Nothing in the preceding suggestions concerning relevant materials should be construed as limiting either the candidate's or the committee's option to include or seek information deemed relevant.

## **Committees**

### **Roles, Responsibilities, and Authority**

#### **Committees**

The Psychology Department operates on a model of open, participatory democracy. All important decisions are discussed by the entire faculty in regular faculty meetings. Committees serve, at the request of the faculty or Chair, to implement standing policies or to address problems and bring forth guidelines or recommendations to the faculty. All standing or recurrent committees are discussed below.

**Undergraduate Program Committee.** Chaired by the Undergraduate Program Director (PD), this committee meets periodically to address issues of relevance to the Undergraduate Program. These include routine matters (e.g., monitoring majors, courses & enrollments), concerns (e.g., optimal use of TAs), guidelines (e.g., material to include in a syllabus, exam policy), enhancements (e.g., using multi-media presentations or web-sites), new initiatives (e.g., assessment), and broad issues (e.g., goal of UG program).

**Graduate Program Committees.** Faculty in the Clinical, Counseling, or Experimental areas meet regularly under the leadership of their Program Director (see section on Departmental Administrators) to discuss issues of special importance to their areas. These include curriculum, student evaluations, maintain program quality in relation to accreditation guidelines, identifying faculty needs, re-evaluating goals, and so forth.

**Graduate Admissions Committee.** Each year the Chair recruits faculty in each of the graduate specializations to participate in the Graduate Admissions process, including a Chair of Admissions (often a volunteer). “Recruitment” is a loose mixture (generally unproblematic) of rotating assignments, nominations by area, and volunteers. (At any rate, no interested member of the faculty is excluded.) The Chair provides the committee with an admissions quota (by specialization area) based on expectations for funding in the next fiscal year. Basic data on applicants are available to all faculty (increasingly in the form of databases that allow sorting by GRE, for example). Full review of applicants occurs within specialization areas (Counseling, Clinical, or Experimental) and recommendations are made to the full Admissions Committee along with summaries of relevant applicant qualifications. Input is sought also from the Black Student Caucus, the Asian American Student Coalition, and a designated faculty member serving as Minority Liaison to facilitate implementation of the Department’s commitment to a diverse graduate student body. Admission decisions are made by the full committee following discussion and, failing general consensus, a vote.

**Tenure and Promotion Committees.** See relevant section.

**Policies on the use of proxies and secret ballots.** Decisions in this department follow full and open discussion by the entire faculty at regular meetings. Indeed, our goal is general consensus, and decisions typically reflect that rather than merely a majority. Secret ballots are routine for decisions on promotion and tenure, not uncommon for

hiring, but otherwise very rare. A request from any person for a vote to be secret is honored.

**Process for determining the composition of committees.** The composition of standing or recurring committees has been discussed above. Ad hoc committees usually are composed of volunteers (no individual is denied the opportunity to serve on a committee). If volunteers are not forthcoming, the chair or area director asks individuals to serve. For certain committees which may require particular expertise, knowledge of the university, or whatever, the chair can make recommendations, subject to approval of the voting faculty. Committees are free to set up their own structure and procedures for operation. All ad hoc committees are advisory. Committee recommendations are considered, discussed, and, if necessary, voted upon by the full faculty prior to adoption or implementation.

## **Departmental Administration**

### **1. Offices**

- A. Administrative positions within the department, other than the position of Chair, are established and abolished by action of the faculty as a whole.
- B. The following are the departmental administrative positions in existence at present (2/82 & 8/98):
  - Chair of the Department
  - Clinical Program Director
  - Counseling Program Director
  - Experimental Program Director
  - Undergraduate Program Director

### **2. Roles and Responsibilities**

A. Chair. The responsibility of the Chair is to facilitate the teaching, research, and service mission of the Psychology Department. Primary functions include the following:

- serve as liaison between the Department and the College
- manage the budget
- ensure adequate faculty staffing, and oversee recruitment and hiring
- assign teaching, research, and service duties in consultation with faculty
- schedule classes
- evaluate faculty merit and make salary increase recommendations to College
- oversee Departmental tenure and promotion decisions
- ensure adequate support staff, hire and supervise civil service employees
- manage and allocate equipment and space
- oversee assessment of departmental programs
- engage faculty in an ongoing appraisal of departmental goals and achievement
- record decisions reached at faculty meetings; a description of these decisions is distributed to the faculty and approved at the next faculty meeting; all such decisions will be kept in a departmental file in the Chair's office so as to have a permanent, localized record of departmental decisions and policies.

B. Graduate Program Directors. The Department has three Program Directors (PDs) responsible for the three areas of our doctoral program: Clinical, Counseling, and Experimental. The role of each PD is to facilitate the smooth functioning of that area of the doctoral program. Primary functions include the following:

- serve as a liaison between the area and its faculty, the full faculty, and the Chair
- monitor program quality to meet standards for accreditation by the American Psychological Association (APA) (Clinical and Counseling areas only)
- develop and revise policies specific to the specialization area
- monitor area staffing needs, and facilitate recruitment and hiring
- recommend area faculty teaching assignments to the Chair
- oversee advisement of students in the specialization area

- lead area curriculum discussions
- oversee evaluation of area students
- conduct evaluations and assessment of area functioning
- oversee preliminary and specialization examinations
- engage faculty in an ongoing appraisal of area goals and achievements

C. Undergraduate Program Director. The role of the Undergraduate PD is to facilitate the smooth functioning of undergraduate instruction. Primary functions include the following:

- plan and implement efforts to recruit and retain students, in accordance with university, college, and departmental goals
- oversee advisement of UG students
- monitor course offerings, capacity, and enrollment
- identify obstacles to timely degree completion and recommend corrections
- conduct assessment of UG Program
- engage faculty in an ongoing appraisal of area goals and achievements.

### 3. Terms of Office

All Departmental administrators serve renewable three-year terms. All appointments will be automatically renewed unless the faculty vote during the three-year evaluation period not to renew the appointment of the administrator (see 5C below).

### 4. Selection

- A. Chair of the Department. When a vacancy arises in the Chair of the department, a search is conducted according to procedures and guidelines worked out by the faculty with the Dean of the College of Liberal Arts. The faculty forwards its recommendations, based on this search, to the Dean of the College of Liberal Arts, who makes the final decision and recommendation for appointment.
- B. Other Departmental Administrators. When a vacancy occurs in a Departmental Administrative position, other than Chair of the Department, the faculty as a whole adopts a procedure for the search for a replacement. In the case of a program directorship, the faculty of the program recommends the candidate it prefers to the entire faculty, which makes a recommendation to the Chair.

### 5. Evaluation

- A. Faculty members shall evaluate each departmental administrator, including the Chair, on a regular schedule. The Department shall conduct the evaluation of program directors. The Dean's Office shall conduct the evaluation of the Chair.
- B. Schedule of Evaluations
1. All Departmental Administrators, including Chair, shall be evaluated at least once every three years. The evaluation shall be conducted in the Spring semester, early enough so that the faculty can discuss the results and take any needed action before the end of the Spring semester.
  2. The first such evaluation shall occur after the individual being evaluated shall have served at least two and one-half years in office. Subsequent evaluations shall take place every three years thereafter.

3. Evaluations may be conducted at other times by written request of (a) the individual being evaluated, (b) the Chair of the Department, in the case of other administrators, or (c) 50% or more of the relevant faculty members (e.g., Experimental faculty members for Experimental Program Director, entire faculty for Chair).
- C. The regular triennial evaluations shall contain an item asking those making the evaluation to indicate whether they want a faculty vote to be taken concerning the renewal of the administrator's appointment. If a majority of the faculty completing the evaluation request a vote, a vote will be scheduled before the end of the administrator's three-year term. Other items shall be determined by a committee appointed by the Chair to supervise the development of an evaluation plan, subject to review by the entire faculty.
- D. A summary of responses to the item asking about retention in office shall be publicly communicated to all faculty members. In the case of the Departmental Chair, the results of this item shall also be forwarded to the Dean of the College of Liberal Arts.
- E. A summary of responses to other items shall be forwarded to the individual being evaluated and the Chair of the Department, who shall determine jointly whether it shall be released to the faculty.
- F. The evaluation described here is separate from, and in addition to, the evaluation of the Chair of the Department that is conducted by the Dean of the College of Liberal Arts.

### **Procedures for Amending the Operating Paper**

The operating paper will be reviewed and updated if necessary every 5 years by an ad hoc committee. The operating paper shall be amended following full and open discussion by the faculty of the Psychology Department and approval by a two-thirds majority. The amendment of the operating paper shall also be subject to the approval of the appropriate Dean and the Chancellor or Chancellor's designee. If there is a dispute between the faculty and the Dean over the approval of an amendment to the operating paper, the Dean will schedule a meeting with an Association representative, the Chair, and a Faculty representative from the affected department to discuss the matter.

### **Academic Qualifications of New Faculty**

Individuals qualified for tenure-track positions shall hold a doctorate in a relevant area of Psychology (i.e., Clinical, Counseling, or sub-area of Experimental). Sufficient background and potential for excellence in teaching should be demonstrated. Additionally, qualified individuals will demonstrate a potential for productivity in research, preferably with a history of publications in one or more professional journals.

### **Departmental Grievance Procedures**

Grievances initiated by departmental faculty will follow the procedures outlined in the SIUC/Faculty Association contract.