



**The College of Education**

**Criteria and Procedures  
Related to Personnel  
Decisions**

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## I. SCOPE AND MISSION OF THE COLLEGE OF EDUCATION

The primary responsibility and commitment of the College of Education is to prepare professionals in the field of education. In addition to the preparation of classroom teachers for public and private schools, the College prepares administrators, counselors, special educators, curriculum specialists, technology specialists, adult educators, trainers/instructional designers, educational researchers/evaluators, physical educators, sport professionals, day-care directors, school business officials, community college teachers and administrators, college and university professors, and other specialized education professionals.

The preparation of professionals in the above areas requires a sustained commitment to the highest quality of instruction in classroom, laboratory, and supervised field settings. Candidates for promotion and tenure will demonstrate a high quality of performance in instructional settings. In addition to high quality instruction, the College is committed to improving educational processes through scholarship and service activities. The nature of human growth and development, learning, the improvement of teaching techniques, and the field testing of model and experimental education programs are priority research areas for College faculty. The efficacy of professional preparation programs relies upon the interaction of College faculty with their practicing counterparts in field settings. The service program of the College is designed to foster interaction with practitioners and to share expertise that can improve the professional practice of both.

The College has a strong tradition of providing professional development training to practicing professionals and plans to continue this commitment. However, the changing nature of professional development needs requires providing instructional services through nontraditional means.

The College will sustain efforts to maintain an appropriate balance among teaching, scholarship, and service activities. There will be a continuing focus on the expansion of the knowledge bases in the programmatic disciplines and on the applications of new findings to practice. Faculty searches will emphasize the expectation of recruiting teacher-scholars who show potential for significant contributions to the profession. These efforts must be matched with an equally strong commitment to increasing the representation of minority and women faculty.

Members of the College faculty are not expected to make significant contributions toward all of the objectives cited or the research themes developed from them. Faculty are expected, however, to (a) apply educational theories and methods to the analysis of educational phenomena, (b) bring disparate lines of inquiry into focus on such phenomena, (c) contribute to or serve as a catalyst for advances in knowledge of their discipline, and (d) conduct scholarly work that ranges from basic research to applied professional contributions.

### A. Specific Objectives for the Future

1. Achieving a more appropriate balance among teaching, scholarship, and service through the use of differentiated staffing and the employment of faculty members to help meet the goals and mission of the college.
2. Searching for creative approaches and the refinement of existing approaches to meet multicultural education needs (e.g., developing a global concept), in our education programs and field experiences.
3. Recruiting and employing more faculty from underrepresented groups and providing strong support services and development opportunities for all faculty.
4. Sustaining high standards in student admissions.
5. Recruiting more minority students and providing appropriate support services to ensure their success.
6. Continuing to develop ways to provide in-service programs that meet the needs of the College's constituencies and the changing content base in various fields of education.
7. Developing and implementing appropriate educational experiences for undergraduate and graduate students who are not seeking certification and who wish to pursue educational roles in non-school settings such as religious, governmental, community, health-related and business organizations and agencies.
8. Using more fully the resources of other colleges in developing cooperative programming.

## **B. Priority Teaching, Scholarship, and Service Themes**

The themes listed below are prominent components of the scope and mission of the College of Education and guide the decisions on promotion and tenure within the College. The key to these themes is the concept of disciplined inquiry. Faculty scholarship or creative activities are expected to follow a directed pattern.

1. Exploring Instructional Strategies. Research on instructional strategies, of necessity, involves both teaching and learning. Thus, determining the optimal means of teaching and discovering the best or different ways that individuals learn are fundamental educational concerns. The discovery of solutions to these problems, to the extent a faculty member contributes creative approaches or demonstrates significant progress in delineating best practice in these areas, qualifies a candidate for consideration for promotion and/or tenure.
2. Improving Educational Processes. When directed toward educational problems and phenomenon, systematic and original study can produce knowledge which assists in educational problem solving. Progress toward the solution of problems, whether in the form of basic or applied research, qualifies a candidate for consideration for promotion and/or tenure.

3. Achieving Quality through Professional Development Training. The College encourages faculty to develop ways to provide programs that are different from traditional course offerings as a means of enhancing the training of education professionals, whether in schools, universities, agencies, government, sport and health-related fields, business, community, religious, or other organizations. Scholarship on the formation and advancement of effective professional development training delivery systems qualifies a candidate for consideration for promotion and/or tenure.
4. Technology in Education. Technology in education, whether to enhance research, management, or the teaching-learning process is important. Thus, research on technology designs, tests of implementation and studies of technology impact on education personnel and procedures qualifies a candidate for consideration for promotion and/or tenure.
5. Enhancing Human Growth and Development. The College is committed to the growth of learners throughout their life span. The process of human growth and development incorporates the evolution of careers, attention to interpersonal skills, and the maintenance of a satisfying emotional life. Scholarly activity addressing these developmental constructs qualifies a candidate for consideration for promotion and/or tenure.
6. Education in a Multicultural and International Context. Many problems in education can be addressed by considering societal factors related to multicultural and international aspects of education. To the extent that such study enlarges the understanding of an educational phenomenon, research on new understandings qualifies a candidate for consideration for promotion and/or tenure.
7. Gender Issues in Education. Gender has become the focus of increasing attention in matters of access to education, career development, and life stage decisions. Scholarly activity reflecting critical processes and needs with respect to gender issues qualifies a candidate for consideration for promotion and/or tenure.
8. Fostering Academic Excellence and Public Service. The sharing of faculty expertise with practitioners in the field through active interaction can improve the professional practices of both. Research on the development of model and experimental programs and the field testing of them are priority research areas of the College. To the extent these activities are conducted, a candidate qualifies for consideration for promotion and/or tenure.

## II. DUTIES AND RESPONSIBILITIES IN THE PERSONNEL PROCESS

The duties, requirements and responsibilities of Department Personnel Committees, Department Chairs, and the College Council are provided below.

### A. Department Personnel Committees (required of each department in the College)

1. Membership
  - a. Each department determines committee membership criteria, chair selection, size, representation, and term of office.
  - b. Department Personnel Committee (DPC) members are elected by department faculty and must be full-time faculty.
  - c. The Department Chair should attend all DPC meetings. He/she shall be a non-voting ex-officio member of the committee when the committee is formulating recommendations regarding merit evaluation, salary increments, promotion, tenure, or sabbatical leaves.
  - d. The College Council representative or alternate should, as the liaison between the Council and the department, attend all DPC meetings and College Council personnel deliberations. The College Council representative shall have access to documentation of the DPC but is precluded from voting at the DPC level.
2. A quorum is defined as a minimum of 60% of the voting membership.
3. Duties of the Department Personnel Committee (DPC)
  - a. Inform department faculty of dates for procedural action by the DPC, College Council, and University Council Personnel Committee (UCPC).
  - b. Collect, and review Faculty Service Reports and supplementary information.
  - c. Recommend individual faculty ratings, salary increments, tenure and promotion, sabbatical leave (in rank order), non-continuation decisions, and other leaves of absence using established department and college criteria. A formal vote will be taken and recorded in the minutes on each of these decisions.
  - d. Forward to the Dean, at the specified time, through the Department Chair, all personnel recommendations.
  - e. Provide for reconsideration processes and make a recommendation to the Department Chair of the Committee's final action.
  - f. Inform the College Council, in writing, of discrepancies in recommendations which exist between the DPC and the Department Chair.
  - g. Conduct an annual performance review of the Department Chair. This responsibility shall consist of developing the evaluation instrument, tabulating results, and presenting the results to the Dean. The DPC Chair and the Dean present the results to the Department Chair.
  - h. Recommend changes for improving the instruments and procedures for evaluations of faculty members.

**B. Department Chair**

1. Provide each faculty member with a copy of the College of Education Criteria and Procedures Related to Personnel Decisions and Department Personnel Procedures.
2. Inform and interpret to each faculty member the guidelines for promotions and tenure included in the College of Education Criteria and Procedures Related to Personnel Decisions and assign a senior faculty member to assist candidates in the preparation of the candidate's promotion and/or tenure dossier.
3. Provide information requested in the College Council and UCPC "working rules."
4. Inform in writing and interpret to each individual faculty member the following actions of the Personnel Committee:
  - a. The individual's merit rating and a comparison of that rating to others within the department.
  - b. The decisions made relative to retention, sabbatical leave requests, tenure and promotion, and other leave requests.
5. Inform and interpret to each faculty member the rights and obligations to initiate reconsideration and/or appeal action. Requests are to be submitted in writing to the DPC within a prescribed time limit, indicating the basis for the request, and whether a personal appearance before the DPC is desired. Requests for reconsideration must be based on and supported by additional information.
6. When the Department Chair files an opinion contrary to a DPC recommendation, the Department Chair shall notify the individual, in writing, of his/her opinion.
7. Notify the individual faculty member of the results, in writing, of requests for reconsideration and inform them of the procedures to be followed for appeal to the College Council in case of a negative decision. Procedures for all appeals will be conducted according to Department Personnel documents.

**C. College Council**

1. Membership
  - a. The College Council will consist of one member from each department.
  - b. The College Council member and an alternate are to be elected by the department faculty. The member or the alternate is required to attend all DPC meetings.
  - c. The College Council will, as circumstances dictate, request an alternate from a department where a council representative is unable to serve in part or whole in deliberations concerning personnel recommendations.
  - d. The Dean of the College will serve as chair but will not vote in matters concerning personnel recommendations.
  - e. The Associate Dean will participate as a non-voting member.
  - f. A faculty co-chair will be elected annually from the faculty membership and have voting powers.

- g. Alternates may vote upon personnel recommendations being considered.
- 2. A quorum is defined as two-thirds of the voting membership.
- 3. Duties of the College Council Members
  - a. Elect one member of the College Council to the University Council Personnel Committee (UCPC). This person may not be a member of a department already represented on the Personnel Committee of the University Council.)
  - b. Present the cases for Promotion and Tenure and Sabbatical Leaves from his/her department to the College Council.
  - c. Examine DPC recommendations and make personnel recommendations to the Dean of the College regarding: (a) individual faculty ratings, (b) individual faculty salary increments, (c) non-continuation, (d) sabbatical leaves, in rank order, (e) tenure, and (f) promotion.
  - d. Review all department personnel recommendations to insure (a) that appropriate professional standards of evaluation have been applied, and (b) that college guidelines and policies have been adhered to and appropriate procedures followed. If, on the basis of the evidence submitted by a department, the College Council is not persuaded that an individual recommendation should be approved, the College Council shall return the recommendation to the department for reassessment, with a written statement of the reasons. A copy of the statement shall be made available to the individual involved. In consultation with the individual, the department may respond to the College Council statement and resubmit its recommendation if it wishes to do so. Where a decision involves the professional competence or achievements of an individual faculty member, the department's judgment shall be overridden only on the basis of substantial evidence that the department applied inadequate professional standards of evaluation. The College Council shall determine how such evidence is to be obtained and evaluated.
  - e. Provide for appeals as prescribed by Northern Illinois University Appeal Procedures (Article 7, section 7.1, Appeals at the College Level, NIU Constitution and Bylaws) and make a recommendation to the Dean of the College Council's final actions. The Dean, in turn, notifies individual faculty, in writing, the results of the appeal and informs them of the procedure to be followed for appeal to the University Council Personnel Committee in the case of a negative decision.
  - f. Report pertinent and appropriate information to Department Chair, DPC, and Department Faculty through its respective College Council representative.
  - g. Conduct an annual evaluation of the Dean, and report the results to the Provost and the Dean. The Provost initiates end-of-term evaluations.
  - h. Conduct an annual evaluation of the Associate Dean and report the results to the Dean.

- i. Review each department's personnel document, note policy and procedure changes, and return the document to the Department Chair before the end of each academic year.
- j. Conduct an agenda-planning meeting at least once per semester for the purpose of discussing college-wide concerns as expressed through the departmental representatives. The meeting, led by the Faculty Co-Chair, shall be used to help shape the business agenda of the College Council.
- k. The College Council shall operate in accordance with Roberts Rules of Order, Revised, unless otherwise stipulated.

**D. Departmental Criteria and Procedures**

Each department will be responsible for providing a copy of departmental criteria related to (a) retention, (b) tenure, (c) salary, (d) promotion, and (e) sabbatical leaves to each faculty member. Following the lists of criteria used in formulating recommendations, the department will include a section on procedures and will specify the conditions which shall prevail to accommodate requests for a review of its recommendations. Procedures that must be covered in the Departmental Personnel document include:

- 1. methods of selecting the department personnel committee including alternate members
- 2. size of the committee
- 3. role of the department chair
- 4. nature of any operating subcommittees
- 5. nature and power of any review committees
- 6. definition of a quorum
- 7. term of office of all members and considerations of continuity
- 8. role of the College Council representative and alternate
- 9. roles of committees, the department chair, and department colleagues in bringing relevant information to bear on each kind of recommendation.

**E. Sequence of Actions in the Personnel Process**

All personnel recommendations are prepared within the framework of the College, University and Board of Trustees' criteria and procedures. Throughout the process of decision making, the faculty member is afforded the opportunity to know the recommendations being forwarded by each level of academic governance, and to pursue review mechanisms that are available.

- 1. The College Council receives the Personnel Recommendations from departments after the departments have notified faculty of the recommendations and after the department has provided each faculty member the opportunity for a reassessment of those recommendations and informed them of the procedure for requesting a formal appeal of a DPC or chair recommendation.

2. The Council weighs each department recommendation according to college-wide criteria and works to secure a consistency among the recommendations received from the various departments prior to making its own recommendation.
3. The Dean notifies each faculty member, department chair, and DPC chair of initial recommendations that the Dean and the College Council have prepared, and where appropriate, the Dean makes reassessment and formal appeal procedures explicit.
4. The Dean receives, in writing, requests for formal appeals of Department recommendations that specify the nature of the formal appeal requested and the basis for requesting the formal appeal.
5. When the request for a formal appeal presents sufficient evidence of bias or when established procedures have been violated, the College Council shall hear the formal appeal. The College Council shall hear formal appeals of individual faculty members on the basis of evidence indicating unfair treatment, inadequate evaluation, or violation of established procedures, standards, or policies.
6. After all formal appeals have been heard, the Dean receives final recommendations from the College Council.
7. Faculty members involved in formal appeals are notified of the final recommendations and are informed of the procedure for appealing to the University Council Personnel Committee in case of a negative decision.
8. The Dean forwards the recommendations to the University Council Personnel Committee through the Provost. The recommendations are accompanied by statements of concurrence or non-concurrence.

**NORTHERN ILLINOIS UNIVERSITY IS AN EQUAL OPPORTUNITY, AFFIRMATIVE ACTION INSTITUTION. THE COLLEGE OF EDUCATION DOES NOT DISCRIMINATE AGAINST EMPLOYEES ON THE BASIS OF RACE, SEX, NATIONAL ORIGIN, COLOR, AGE, RELIGION, DISABILITY, STATUS AS A VIETNAM-ERA OR DISABLED VETERAN, MARITAL STATUS, SEXUAL OR AFFECTIONAL PREFERENCE, OR ANY OTHER FACTOR UNRELATED TO PROFESSIONAL QUALIFICATIONS.**

### III. FACTORS IN PERSONNEL DECISIONS

Decisions regarding retention, tenure, salary, and promotion originate in the department in which a faculty member holds academic rank. The origination of each recommendation requires that the department justify its decision through documentation which carefully assesses the quality of each faculty member's performance as a teacher, both on and off-campus, achievements as a scholar, service contributions to campus community and service to professional colleagues in the field. Faculty are recognized and rewarded for contributions in all of the aforementioned areas.

#### A. **Factors Related to Assessing the Quality of Teaching, Scholarship and Service**

Throughout the section that follows, reference is made to the assessed quality of performance in the areas of teaching effectiveness; scholarly and professional performance and achievement; and department, college, and university service. It is the expectation of the College that faculty will perform satisfactorily in the classroom, maintain an ongoing program of scholarly activity, and regularly participate in service activities. The criteria used for such assessments include the following:

1. The Competent Teacher:
  - a. fully commands the subject including its historical antecedents, its current research and literature, and its future directions;
  - b. presents material in ways that stimulate analysis and critical comparisons;
  - c. creates opportunities for divergent points of view to be explored;
  - d. stimulates independent inquiry by students and is receptive to the results of that inquiry;
  - e. identifies the objectives to be pursued, the methods of pursuit to be utilized, and the manner of evaluation to be employed, and shows fairness and skill in evaluating student performance;
  - f. provides academic assistance to students;
  - g. encourages intellectual dialogue and is sensitive to classroom responses;
  - h. remains enthusiastic about teaching and stimulates enthusiasm among the students for continued study;
  - i. uses current pedagogical approaches to instruction and varies those approaches where appropriate;
  - j. encourages and facilitates student creativity; and
  - k. accepts responsibility for assessing and improving effectiveness as a teacher.
2. The Competent Scholar:
  - a. contributes to knowledge in the field by conducting research;
  - b. shares the results of scholarship with colleagues through publications, presentations, performances, exhibits, and speeches;
  - c. pursues knowledge by continued study in the field, participating in professional meetings, and colloquia; and

- d. uses the knowledge gained through scholarship to upgrade the quality of teaching and service.
3. The Competent Professor Serves through:
  - a. membership in department, college, and university committees;
  - b. participation and leadership in professional organizations;
  - c. supporting the efforts of colleagues and the department to achieve their objectives;
  - d. consultation with professionals in schools and in other settings;
  - e. the promotion of causes which advance the level of the profession and thus society;
  - f. professionally oriented public service activities; and
  - g. development of programs for the preparation of professionals.

**B. Factors Related To Retention**

Each department is charged with developing the strongest possible faculty within its powers. To this end, the department recruits and employs the most promising candidates. The department will critically observe the performance of each faculty member throughout the regular probationary period of employment.

The College has a strong commitment to effective teaching. When concerns arise about the teaching of a professor, it is incumbent upon the Department Personnel Committee, the Department Chair, and the individual professor to address the issue. The Department Personnel Committee, in consultation with the Department Chair, shall initiate a meeting with the individual to express the concerns. The individual shall be responsible for creating an action plan to address those concerns. The action plan shall be subject to approval by the Department Chair.

1. Throughout every year of employment prior to the granting of tenure, a judgment must be made concerning the desirability of retaining a faculty member in employment for the succeeding contract year.
2. Regular (probationary) appointments shall be for a specified term, renewable for a total of not more than seven years. Credit toward the probationary period may be granted at the time of initial appointment to faculty members with one or more years of full-time experience at the rank of instructor or above at one or more institutions of higher education. The probationary period may be reduced one year for each year of full-time teaching experience, to a maximum of three years. The minimum probationary period is four years, unless tenure is granted earlier per university guidelines (Section III, Faculty and Administrative Employees Appointments). The tenure decision is made in the year prior to the final year of the probationary period. For example, if the probationary period is seven years, the tenure decision is made during the sixth year. The year agreed upon for the

tenure decision must be stated in the offering letter and is not subject to renegotiations once the offer has been accepted. Faculty on regular (probationary) appointments shall be guaranteed the following dates of notification concerning the university's decision not to renew the appointment:

- a. Not later than March 1 of the first academic year of service, if the appointment expires at the end of the year; or if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
  - b. Not later than December 15 of the second academic year of service, if the appointment expires at the end of that year; or, if an initial two-year appointment terminated during an academic year, at least six months in advance of its termination.
  - c. At least twelve months before the expiration of an appointment after two or more years in the institution. A faculty appointment is deemed to expire on the last day of the calendar month in which the faculty contract ends. The period during which a faculty member is on regular appointment shall be regarded as probationary; at any time during this period, the university may offer tenure. Every appointment for a specific term must be accepted by the faculty member with the understanding that such an appointment entails no assurance or implication, except for the provisions for notification set forth above, that it will be renewed or that tenure will be granted.
  - d. In the event there are insufficient appropriated funds to continue the appointment, notice must be given as soon as possible. Upon bona fide reduction or elimination of a department or program, the university, as soon as possible after the decision is made to reduce or eliminate the department or program, shall give notice to the faculty member being displaced.
3. Temporary appointments shall be for a specific purpose and for a term appropriate to that purpose. No notice of a decision not to reappoint is necessary for a faculty member on temporary appointment; the university, on the other hand, during any temporary appointment, may offer some other future appointment. Time served on temporary appointment shall not be countable toward completion of tenure probationary requirements unless the employee is moved from temporary to tenure-track status and the previous temporary service was full-time, consecutive, and at the rank of instructor or above. In such a case, the probationary period may be shortened but any such reduction must be agreed to by the employee and the University in the initial tenure-track contract. However, under no circumstances shall the tenure probationary period be less than three years in length.
  4. For retention recommendations, contributions in teaching, scholarship and service shall be assessed from the time of appointment.

### C. Factors Related to Tenure

A recommendation for tenure is the most critical personnel decision made by an academic department and college. Accordingly, a department recommendation that tenure be awarded is justified when faculty members under consideration have demonstrated that they are fully qualified to serve the department, college, and university on a long-term basis as teachers and scholars. Careful evaluation of (1) effectiveness in teaching, (2) scholarly contribution, including research or artistry, grants, and other external peer evaluation of scholarship, and (3) service to the university community and the profession will be conducted in the tenure decision process. A sufficient number of nominations for external evaluators (along with their title, mailing address, and a brief biography) must be provided to the Department Chair to assure that a minimum of five reference letters are included in the tenure and promotion portfolios. Department chairs will be responsible for soliciting the external letters and are to account for receipt of these letters. Only in unusual circumstances should tenure be recommended for assistant professors without the concurrent recommendation for promotion to associate professor.

1. The University permits tenure recommendations for assistant professors (without concurrent recommendation for promotion) in "**unusual circumstances.**" The College may consider tenure recommendations for assistant professors in these circumstance:
  - a. where no doctoral degree is available in the instructional specialty represented by the candidate; or
  - b. where an assistant professor with a newly conferred doctorate has been employed as an instructor for a number of years and for whom the tenure decision would have to be made at a point in time sooner than would be required for those initially employed as an assistant professor without prior experience.
2. As stated in the Regulations of the Board of Trustees of Northern Illinois University, Section III, Faculty and Administrative Employees Appointments 12. e. "Newly appointed faculty members ordinarily shall not be offered immediate tenure, and in no case without the concurrence of the provost and president and approval by the Board of Trustees. Such authorization shall be requested prior to formal consideration of contract terms between the university and the prospective faculty member."
3. Individuals should review the Faculty and Administrative Employees Section III of the Regulations of the Board of Trustees for additional specifics regarding the following information:
  - a. Faculty and Administrative Employees
    - Coverage
    - Regular appointments

- b. Tenure
  - General provisions
  - Eligibility for administrative employees
  - Required board action
  - Locus of tenure
  - Probationary service expectations
  - Evaluative criteria and procedures
  - Probationary service and leaves of absence
  - Review of dismissals for cause – tenured faculty
  - Effective date of dismissal for cause
- c. Reduction in or Elimination of a Department or Similar Academic Unit
- 4. For tenure recommendations, contributions in teaching, scholarship and service shall be assessed from the time of appointment.

**D. Factors Related to Annual and Third-Year Review of Probationary Faculty**

The Department Personnel Committee (DPC) and the Department Chair shall conduct an annual evaluation of the progress toward tenure of all probationary faculty members and provide such evaluation in writing. The annual review and the third-year review shall take place in the spring term of each year following the date of appointment. The criteria used for the evaluation shall be the published Department, College, and University guidelines for achieving tenure and shall minimally include the strengths and weaknesses in the categories of teaching effectiveness; scholarly inquiry, research and/or artistic production; and service to the university community and profession.

1. The annual progress toward tenure letters must be definitive and must be submitted as part of the dossier. The College Council reviews the letters and can send feedback to the department chairs. DPCs must put a statement at the end of the annual faculty reviews indicating whether faculty members are or are not making adequate progress toward tenure.
2. A probationary faculty member who feels that his/her annual evaluation is unfair, inadequate, or otherwise inconsistent with the relevant published guidelines for achieving tenure may place a written response to the evaluation in his/her department file and with the Dean. However, the annual evaluation of progress toward tenure of a probationary faculty member shall not itself be subject to the personnel appeal process.
3. The DPC and the Department Chair shall conduct a particularly thorough and formal evaluation of the progress toward tenure of those faculty members on a seven-year probationary tenure track during the spring of the faculty member's third year. This evaluation shall be distinct and separate from the merit rating process. A statement shall be appended to this evaluation by the Department Chair which specifies the

Department's anticipated long-term need for the position held by the probationary faculty member. This evaluation shall be shared with the probationary faculty member and the Dean.

4. For faculty members on a four-year probationary track, it is expected that at the time of recruitment their previous professional performance shall be subject to an evaluation using the same criteria and expected level of performance as applied to those in the third year of a seven-year probationary track.

#### **E. Factors Related to Promotion in Rank**

It is recognized that an individual can not excel in all of the criteria for promotion. However, a demonstrated ability in teaching plus clear evidence of continued professional growth and scholarly activity is required. It is expected that excellence in one or more of the criteria at a level commensurate with the rank for which promotion is recommended will be evident. Reasonable competency will be expected in the other categories. For consideration of department recommendations for promotion in rank, the College Council recognizes the following criteria:

1. Criteria Associated with Teaching
  - a. Effective performance in teaching applies to all ranks. Candidates for promotion to any rank must have demonstrated successful teaching and show continuing concern for critical assessment and improvement of their teaching.
  - b. Evidence of teaching effectiveness should include feedback from (a) students, (b) self-evaluation, and (c) colleagues and/or the Department Chair.
2. Criteria Associated with Scholarly Achievement
  - a. For promotion to the rank of assistant professor. Promise, as demonstrated by an earned doctorate or equivalent\* educational or professional accomplishment, or an ability for leadership in her/his scholarly or creative field. Promise of scholarly leadership is evidenced by publications or significant work in progress, manuscripts submitted for possible publication, papers given at professional meetings, grants submitted or received, leadership in field service activities, and other forms of scholarly or professional activity.
  - b. For promotion to the rank of associate professor. Candidates for promotion to associate professor shall have an earned doctorate, or equivalent\*. Evidence is expected that the individual is in the process of achieving professional recognition among leaders in her/his discipline through: (a) Scholarly publications (b) Papers presented, grants, public service related to her/his discipline, and other forms of scholarly, creative, and professional activity.
  - c. For promotion to the rank of professor. Candidates for promotion to professor shall have an earned doctorate or its equivalent\*. Evidence is expected that the individual has achieved wide and significant professional recognition among

other leaders in her/his discipline through: (a) Scholarly publications, (b) Papers presented at professional meetings, grants, public service related to her/his discipline, and other forms of scholarly, creative and professional activity.

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*\*Equivalent shall be interpreted to mean the acquisition of competencies, skills, or knowledge at a level achieved by those with the earned doctorate or appropriate terminal degree.*

3. Criteria Associated with College and University Service and Professionally-Oriented Public Service
  - a. Candidates for promotion must have given evidence of an ability and willingness to work cooperatively with colleagues in efforts to improve the programs, personnel, facilities, and conditions supporting the activities and mission of the department, college and/or the university.
  - b. Likewise, candidates must have given evidence of professionally-oriented public service or external programming activities that expand the experiences, knowledge, and professional competence of faculty and/or professionals in the field. The quality and extent of such involvement in service are relevant criteria for academic promotion at any level.
4. Criteria for Extraordinary Circumstance

When a department seeks to promote or to tenure an individual at a point in time earlier than suggested by university guidelines, that department must document that the individual has:

  - a. achieved the same level of teaching competency,
  - b. achieved the same level of scholarly productivity,
  - c. achieved the same level of service, and
  - d. achieved the level of promise and prominence as those persons who are recommended for promotion and tenure at the suggested time.
5. For promotion recommendations, contributions in teaching, scholarship and service shall be assessed over the time period, from the time of appointment or the time from the last promotion, whichever came last.

## **F. Factors Related to Salary**

Salary recommendations are based upon an assessment of teaching effectiveness; scholarly achievement; and department, college, university, and professionally oriented service, or external programming activities.

1. Responsibility for determining and reporting all factors involved in its system of weighing teaching, scholarship, and service for merit purposes shall be vested in each department, subject to review and approval of the College Council.

All departments will adopt a common scale with zero given for lack of performance and ten as the highest. Faculty who do not turn in a FSR will receive a NR and their scores will not be included in department evaluations.

If a three year or five year average is required, the NR will be counted as zero as numbers have to be used for rolling averages. Faculty will not receive credit for teaching scores if they choose not to submit a FSR.

2. Faculty assignments may be adjusted to the benefit of the individual faculty member in order to facilitate achievement of the College and Department mission. Such assignments (differentiated assignments) are intended to obtain utilization of available skills and talents and to reflect individuals' interests and needs without jeopardizing their potential for earning high merit ratings and achieving tenure and/or promotion. The departments shall address this issue in their respective personnel document. Departments should specifically address differentiated staffing and how those with differentiated staffing assignments are to be evaluated for merit ratings. The faculty members and the Department Chair are to decide as early as possible on the nature and weighing of a differentiated professional assignment.
3. Faculty members shall be evaluated on the basis of evidence acquired from the current Faculty Service Report and other submitted data. To standardize input on which decisions of tenure, promotion and salary increment are based and to provide for more comparable data across departments, the Faculty Service Report form provided in the Appendices of this document is to be used.
4. Annual faculty service report recommendation forms shall be completed by the Department Personnel Committee and submitted to the College Council through the dean.
5. For salary recommendations, professional contributions shall be assessed from the beginning of the preceding year (January to December).
6. In order to better evaluate a staff member, those individuals who feel that the Faculty Service Report does not adequately reflect their responsibilities are encouraged to supplement the report with additional appropriate information.

#### **G. Factors Related to Sabbatical Leaves**

The College shall recommend sabbatical leaves for the purpose of supporting and encouraging scholarly activity on the part of the faculty, thus, on a long-term basis, strengthening the educational programs of the college.

1. Sabbatical Leave Procedures
  - a. Each applicant for sabbatical leave shall propose a program of scholarship (defined to include artistry) which is capable of being substantially advanced by means of the leave. The applicant shall indicate the nature of the program, its present state of development, and, in some detail (including appropriate format), plans for advancing the program during the leave. Documentation may be

- submitted in support of the application.
- b. Assistance to applicants for sabbatical leaves with conceptualizing, formatting and drafting proposals is the responsibility of the academic department. Each application shall be submitted through the chair of the department in which the applicant holds rank for review by the Department Personnel Committee. In consultation with the Department Chair, the DPC shall (1) evaluate the merit of each sabbatical leave application in the department; (2) recommend the approval or disapproval of each application; (3) if there is more than one such application, rank them in order of merit; and (4) forward the request(s) through the Dean to the College Council. The Department Chair shall prepare a cover letter to accompany the committee's rankings which explains how the rankings were developed and how the criteria were applied.
  - c. Differences of opinion between a majority of the DPC and the Department Chair shall be resolved at the department level whenever possible. Otherwise, they shall be reported in detail to the College Council.
  - d. The Department Chair shall notify each sabbatical applicant, in writing, concerning the committee's recommendation, including the ranking. A request for reconsideration of the committee's recommendation shall be filed within 14 days of the date of the notification from the Department Chair. Reconsideration requests shall be heard within the department in accordance with department policies, prior to the start of the deliberations of the College Council.
  - e. The College Council, in consultation with the dean, shall evaluate the applications from all departments in the College, taking into account department recommendations, and approve or disapprove each application. The Council shall review any differences of opinion referred to it by the departments and act in accordance with its own best judgment on the dispute.
  - f. On a college-wide basis, the Council shall rank applications recommended for approval by the Department Personnel Committees and the College Council. The ranking shall respect, insofar as possible, the rankings provided by the departments and shall be based upon the Council's judgment of the relative scholarly merit of each project.
  - g. The Dean shall notify each applicant, in writing, concerning the College Council's recommendation, including the ranking. Appeals of the College Council's recommendation shall be filed within 14 days of the Dean's notification; they shall be heard in accordance with the policies of the College, prior to the deliberations of the university-level personnel committee. The College Council, through the Dean, shall forward its recommendations to the provost. The Dean shall prepare a cover letter to accompany the college recommendations, which explains how the rankings were developed and how the criteria were applied. Where differences between a majority of the College

Council and the Dean are not resolved at the college level, they shall be reported in detail to the University Council Personnel Committee.

- h. Individuals with rank in an academic department, but assigned to more than half-time administrative duties outside the college or department, as well as faculty no-rank persons shall submit requests for sabbatical leaves to the personnel committee of the administrative unit involved, or where no personnel committee exists, to their immediate supervisor. Those leaves which are approved shall then be forwarded with accompanying justification to the University Council Personnel Committee.
  - i. Academic administrators (deans, associate or assistant deans, vice-presidents, associate or assistant vice-presidents, or provosts) holding rank in an academic department who wish to apply for a sabbatical leave may use either of two tracks. They may submit a sabbatical proposal for scholarship on an administrative topic, in which case the proposal shall be reviewed, and ranked where appropriate, by the applicant's administrative superior. That official shall forward the proposal with comments to the appropriate administrative officers for further review, comment, and ranking. Alternately, they may submit a sabbatical proposal dealing with their area of scholarly expertise, in which case the proposal shall be submitted to the academic department in which they hold rank. The Department shall rate the proposal on its scholarly merit and forward that evaluation to the applicant's administrative superior. That official shall review the proposal and forward it with comments to the appropriate administrative officers for further review comment and ranking.
2. Sabbatical Leave Policies
- a. Sabbatical leaves shall ordinarily be limited to tenured faculty members and shall be granted only in connection with proposed or ongoing programs that promise to enhance the professional competence and improve the professional standing of the faculty member.
  - b. Sabbatical leaves ordinarily shall not be granted to a faculty member in order:
    - (a) to revise books designed primarily for use as texts;
    - (b) to retrain or develop competencies primarily for a different professional position;
    - (c) to primarily visit various locations of general, professional, or academic interest;
    - (d) to perform full-time duties at another institution similar to the duties presently performed at NIU;
    - (e) to complete a doctoral or other terminal degree; or
    - (f) to carry out formal study at NIU.
  - c. Sabbatical leaves for a semester at full pay shall not be granted to a faculty member if, during the leave, the faculty member is to undertake full- or part-time employment that is not an integral part of the scholarly purpose of the leave.
  - d. Within 60 days following resumption of regular duties at the university, the faculty member shall submit a written report to the department or division chair,

to the dean or director, and to the vice-president and provost, describing the personal scholarly activities during the sabbatical leave. The report shall become a part of the faculty member's service record for the purpose of merit evaluation as described in the following paragraph and as a basis for evaluation of subsequent leave requests. An individual granted a sabbatical leave assumes a professional obligation to return to NIU for a period of at least one-year subsequent to the leave.

- e. Each report must include a brief statement of the scholarly purpose for which the leave was granted. If this report reflects significant professional activity, the DPC will award a merit rating which will be at least an average of that person's merit rating for the previous three years. If the report reflects inadequate professional activity, the merit rating may be lower.
- f. Sabbatical leaves shall be for one semester at full pay or one academic year at half pay. Persons on 12-month appointments are also eligible for two consecutive summer sessions at full pay.
- g. Each sabbatical leave application and project shall be considered anew each year.
- h. A first sabbatical leave shall be granted only to a faculty member who will have completed five years of full-time service by the time the leave begins. Full-time service on a temporary appointment shall count toward a sabbatical leave. Periods of time on leaves of absence without pay shall count toward a sabbatical leave provided the University Council Personnel Committee judges the activity associated with that leave without pay to be comparable in professional significance to service as a member of the faculty.
- i. To be eligible for a subsequent sabbatical leave, a faculty member must complete six years of approved service since the most recent sabbatical leave.
- j. Recipients of Presidential Teaching and Presidential Research Awards are granted a semester of release teaching which does not count as sabbatical leave.

#### **H. Factors Related to Educational and Work-Related Leaves of Absence Without Pay**

1. According to the Regulations of the Board of Trustees: Faculty and administrative employees are not entitled to leaves of absence as a matter of right. The President or designee should weigh carefully the benefits and the disadvantages of each individual request for a leave of absence without salary for personal cause and shall authorize only those requests that meet the following conditions.
  - a. There is assurance that the vacated position can either be absorbed or that a suitable replacement can be secured.
  - b. The University will benefit by the experience gained by the person on leave.
2. Because the granting of a leave of absence depends on the ability of a department to maintain program integrity, teaching schedules, student advising, and service

obligations, the College's procedures involve consideration of all proposals by the program faculty, the Department Chair, and by the Dean.

- a. The faculty proposal is submitted concurrently to the Department Chair and program faculty.
  - b. The Department Chair is responsible for writing a letter which describes the review process used, and the degree of faculty support for the leave of absence.
  - c. The Department Chair submits departmentally approved proposals to the Dean. A letter of recommendation from the Department Chair should be included with each proposal.
  - d. Applications approved by the Dean are submitted to the Provost's Office for approval and recommendation to the President.
3. The application for the leave of absence should include the specific period of time and the reasons for the request. Leaves of absence should augment the scholarly and professional standing of the individual as well as increase program strengths upon the individual's return. There should be a workload statement that shows how the faculty member's work will be handled during the individual's absence. Included in this statement should be provisions for covering course offerings, advising, guidance of thesis/dissertation committees, and the committee work of the faculty member. Leaves of absence should not disrupt important program development activity.

#### IV. GUIDELINES FOR PROMOTION AND/OR TENURE DECISIONS

This section attempts to define and amplify the significance and role of teaching, areas of scholarship that are appropriate to the College's mission, and the character of service that will enhance opportunities for promotion and tenure in the College of Education at Northern Illinois University. It is also a guide to the development of the Promotion and Tenure dossier that each faculty member must prepare in order to be considered for promotion and tenure. This section attempts to define and identify the criteria that qualify a candidate for promotion and/or tenure. It clearly indicates there must be a balance among teaching, scholarship, and service and provides parameters for the roles of those areas.

The section contains information from the May 1987, University Council Personnel Committee's (UCPC) "Documentation of Recommendations for Promotion and Tenure" guidelines based on principles and criteria derived from Article 5 of the University Constitution and Bylaws, which serve as the overall university criteria for promotion and tenure. These guidelines, along with the Constitution and Bylaws and The College of Education's Criteria and Procedures Related to Personnel Decisions, serve as the basis for tenure and promotion. Appendices also contain the instructions and format for the preparation of the dossier for promotion and/or tenure.

Faculty, especially Department Chairpersons and the senior faculty, are expected to provide suitable assistance and guidance to junior faculty in developing disciplined inquiry, appropriate teaching strategies, and appropriate service records. The mentoring and development of the junior faculty is important, and is expected to be an on-going process.

Education occurs in many milieus and the term education should not be interpreted to mean only school-based settings. The evidence listed in subsequent sections is not meant, nor should it be construed, to be limiting or exhaustive. Departments are encouraged to develop additional evidence appropriate to their faculty(ies) and program(s) to supplement those provided.

##### A. Teaching and Professional Assignment

The quality of teaching, the improvement of teaching, and the quality of the learning environment are of great importance to the College of Education, particularly given the historical roots of the College in the normal school from which Northern Illinois University grew. While the College has, as a professional school, evolved to include school based and non-school based programs, the quality of teaching and the learning environment continues to be of significant importance.

1. Effective teaching is the culmination of a series of preparatory activities. Knowledge of students, a thorough knowledge of the subject field, and pedagogy are necessary prerequisites to instructional excellence. Teaching in the education profession encompasses

a specialized body of theoretical and complex knowledge and is highly individualized. College faculty, though, are expected to be capable of fostering student progress in acquiring a knowledge base of their discipline, teaching methodology, oral and written communication skills, and other knowledge and skills appropriate to the education profession (e.g., use of technology).

2. Quality teaching generally revolves around the following factors: (a) thorough knowledge of the subject matter, (b) well planned and organized teaching, (c) clear presentation of subject matter, (d) stimulation of ideas and thinking, (e) application of course material to related areas of knowledge, and (f) a positive attitude toward students.
3. Effective teaching can vary substantially across student populations and programs; therefore, judgments of teaching quality must be context-dependent. Candidates for promotion and/or tenure can choose to highlight the areas where they judge their best performance is obtained. In making their case, candidates must demonstrate by argument, with reference to process and product data (e.g., courses, number of students, level of course, course syllabi, dissertations), the case for excellence.
4. Teaching is a significant aspect of a faculty member's professional performance. Teaching effectiveness, concern for critical assessment, and the improvement of teaching are essential ingredients in the consideration for promotion and tenure.

**B. Scholarly and Research/Creative Activities**

Basic research should make an acknowledged contribution to the advancement of a discipline, and it should yield knowledge that illuminates educational phenomena or contributes to the solution of a problem relating to an educational phenomenon. Applied research should follow clearly from the implications of theory or methods in one or more disciplines and be acknowledged as a decisive contribution to the resolution of educational issues or problems. Professional application is work that contributes to progressive change in policies or practices of the profession of education. Such work should stem from a rationale that is recognizably and explicitly informed by scholarly research, theory, or methods, or should incorporate innovations that result in documentable and significant differences in professional conceptions, approaches, policies, or practices. Work of this variety may itself take various forms, including the development of new curricula or instructional methods, reports of conceptual or data analyses that provide novel perspectives on policy or practice, commissioned reports of the evaluation of specific educational programs or of procedures for solving specific educational problems, critical reviews of current policy and practice, and analyses of recent advances in one or more disciplines with respect to their implications for educational policy or practice.

1. The variety of scholarly and creative work in education is immense as are the kinds of evidence to be examined in evaluating the quality of such work. Sheer numbers of scholarly or research articles or creative works are not sufficient evidence for distinction in this area.
2. The items listed in the Appendices are the types of acceptable evidence that should be included in a candidate's promotion and/or tenure document (called dossier). Judgments of quality may be difficult to ascertain; thus, the candidate has the responsibility for specifying the standards that the work has met, such as an analogue of evaluation, (e.g., critical peer review, evidence from recognized experts that a product embodies current standards), and some form of evidence of the nature of a product's impact, (e.g., frequencies of citations by others in published citation indexes). In short, the dossier must include the case for excellence in contributions to an area of endeavor. A candidate should include, for example, where an article or textbook has been published, and documentation that substantive depth is evident in the work. Arguments to this point might include mention of the prestige of the journal or publisher, the national status of a peer evaluator, or the recognized expertise of an educational professional.
3. Different criteria will be applied to promotion in rank, differentiating promotion from assistant professor to associate and from associate professor to full professor. Discretion remains with the Department, but the Department should give some consideration to whether a candidate for promotion is senior or junior author of published works. Collaborative research is encouraged, particularly as the College faculty become more involved in interdisciplinary research, thus co-published works are acceptable. This type of work is of particular importance for junior faculty who are in the process of building a network of colleagues who can provide evidence of their scholarly capability. The candidate for promotion and tenure should, however, delineate in the dossier how much he/she contributed to the scholarly work. In addition, senior faculty members are expected to be the senior author of a significant proportion of collaborative works.

**C. Service to the College and University and Public Service**

Faculty members in the College are expected to share in the responsibilities of policy formulation and administration. This activity will be acknowledged. Contributions of special distinction beyond this normal expectation, whether in faculty governance or administration, will be accorded due recognition. Similarly, distinguished service beyond the University, to the local community, state, nation, and other countries will receive recognition.

1. Contributing skills to the solution of education problems at all of these levels is especially appropriate for faculty members of the College of Education. Despite their importance, however, service activities by themselves cannot replace distinguished achievement in teaching and scholarship.

2. Service is provided when a faculty member engages in activities outside his/her area of specific professional expertise; however, such activities are not considered to be professional activity.
3. Service involves responsibilities in the areas of policy formulation and administration and is performed both within the University and public life. Examples of service activities include membership on Department, College and University committees, holding office in local or state government, membership on boards of education or education-related agencies and other important community organizations and agencies.
4. Sheer numbers of service activities are not sufficient evidence for distinction in this area.

**D. Other Professionally Significant Achievements (Service to the Profession)**

Other indicators may establish the competence of a faculty member and are considered for promotion and/or tenure.

1. Other indicators include external programming activities, membership on the editorial boards of scholarly or professional journals, holding office in scholarly or professional organizations, honors conferred by or invitations to address meetings of such groups, invited participation in conferences on specialized topics in the field, membership in selective and honorific societies (e.g., the National Academy of Education), and service to professional organizations on committees or in program organization.
2. Additional indicators are relevant as well. These include consultantships and contracts for service to local, state, and federal education agencies, legislators, other policy-makers, and professional associations. Informational circulars, pamphlets, or workshops designed to assist school personnel to improve their skills or to implement policy options and mandates are also acceptable indicators. Working relationships with those in other education professions can also be valuable to faculty in the College.
3. While of substantial importance, professionally significant activities do not substitute for accomplishments of quality in teaching and in scholarship. In the compilation of the dossier, candidates are encouraged to argue why such activity is important (e.g., the select nature of an invitation) and/or provide letters of support from colleagues or collaborators.

**E. Recommendations for Promotion and Tenure (UCPC Guidelines, 1987)**

In order to facilitate the review of recommendations for promotion and tenure at the university and college level, the University Council Personnel Committee has adopted the guidelines presented below as part of its "Working Rules". The UCPC also wants to remind departments and colleges of the importance of annual reviews of progress toward tenure and to encourage units to carefully and thoroughly communicate to probationary faculty the strengths and weaknesses of their performance in teaching, research and service.

1. The supporting documentation and the completed vita which indicates academic and professional activities of the candidate must be current.
2. The justification for promotion or tenure -- Part II A. of the "Recommendation for Promotion and Tenure," completed at the departmental level -- must identify the criteria used in measuring teaching effectiveness and the evidence which supports the assessment of the individual's overall performance must, likewise, identify the professional accomplishments of the individual and their significance, and include an assessment of how these accomplishments meet the criteria for promotion and/or tenure.
3. If supporting letters are included in the material as part of the department and college process, they must be current. In addition, a statement describing how these letters were solicited and a brief biographical sketch about each reviewer should be included.
4. In cases of early promotion or early tenure, besides completing Part II, separate letters are needed from the Chair and the Dean explaining the extraordinary nature of the faculty member's performance. These letters should point out the criteria being used at the college or departmental level and how the recommended faculty member meets these criteria.
5. Where there is a disagreement at either the college or departmental level or between the college and department a statement describing the nature of the disagreement must accompany the documentation to the next level.
6. If, at the college level, there are reasons for support which differ from the department's reasons for support, these additional reasons must be made known when forwarding the recommendation to the university level. If the college disagrees with the recommendation of the department, a statement indicating the reasons for the disagreement must be forwarded to the UCPC.
7. In listing scholarly activity, the department must identify those publications which appear in refereed journals and those artistic exhibitions which are juried.

## V. APPENDICES

In an attempt to improve the quality of decisions made about tenure, promotion, and salary increments, faculty members should use the general format that follows in these appendices to provide evidence of their professional performance to Department Personnel Committees. Relevant reports of professional performance should be submitted to the Department Chair on the date(s) designated by the Chair and College Council approved guidelines.

The following Appendices contain cover page formats for the Faculty Service Report (Appendix A) and the Promotions and Tenure Dossier (Appendix B) as well as a list of appropriate items to include in the specified sections of these two documents (Appendix C). Appendix C is not intended to be exhaustive or all inclusive. Faculty members are encouraged to report other evidence that may not be specifically referenced in the Appendix. Some items listed in Appendix C should be in Tenure and Promotion dossiers, but not included in annual Faculty Service Reports, for example, copies of letters from students and colleagues.

Partnership work is important to the College and different aspects of this work may be reported in various areas described in Appendix C. For example, publications resulting from partnership work would be reported in the section on scholarship, courses taught on-site at partnership schools would be reported in the teaching and professional assignment section, as would faculty-liaison assignments. Service on local school committees or delivery of non-credit professional development activities may be reported in the service section.

**PLEASE NOTE:** The following personnel documentation is to be provided by the department

To be documented by the Department Chair in consultation with the Department Personnel Committee.

- A. Assessment of teaching effectiveness and of efforts at improvement the faculty member has reported.
- B. Summary evaluation of overall effectiveness as teacher, scholar, and professional

**Department Personnel Committees and Department Chairs should send separate letters assessing teaching effectiveness, scholarly productivity, service activities and collegial responsiveness.**

**FACULTY SERVICE REPORT COVER PAGE**

Faculty Member Name \_\_\_\_\_

Rank \_\_\_\_\_

Department \_\_\_\_\_

**This Faculty Service Report documents activities from  
January 1, 20\_\_\_\_\_ through December 31, 20\_\_\_\_\_**

**FORMAT FOR THE PREPARATION OF  
THE DOSSIER FOR PROMOTION AND/OR TENURE RECOMMENDATIONS**

Date \_\_\_\_\_

Name \_\_\_\_\_

Department \_\_\_\_\_

Present Rank \_\_\_\_\_

Number of years full-time college level teaching prior to NIU \_\_\_\_\_

Number of years at NIU \_\_\_\_\_

Number of years in present rank at NIU \_\_\_\_\_

Recommended for: Tenure \_\_\_\_\_ Effective Date \_\_\_\_\_

Recommended for: Promotion \_\_\_\_\_ Effective Date \_\_\_\_\_

**Educational Background:** Give institutions of higher education attended, dates of attendance, and degrees earned in reverse chronological order.

**Professional Experience:** In reverse chronological order, list institutions, rank or title, and dates of appointment concerning all professional positions.

**Justification for Promotion and/or Tenure:**

This information is to be supplied by the candidate. Respond to each of the categories noted in Appendix C. Examples of evidence you may want to use are cited; these are only examples, you may choose to supply other types of evidence.

**NOTE:** Candidates for Promotion and/or Tenure shall provide to the Department Chair the names of individuals from whom at least five (5) letters of support may be solicited. A brief biographical sketch, including information on their expertise in the field, should be included with the list. Department chairs will be responsible for soliciting the external letters and are to account for receipt of these letters.

**Areas to be Covered in Evidence Provided for Faculty Service Reports  
and Tenure and Promotion Dossiers**

**TEACHING AND PROFESSIONAL ASSIGNMENT.**

Evidence of teaching effectiveness

The Department will provide University student evaluation results. In addition, the faculty member may provide information on:

- the courses taught (course designator and number/level, course title, semester taught, number of students);
- written feedback from students;
- colleagues and/or the department chair written evaluations of teaching;
- a self-evaluation; and
- sample course materials.

Evidence of advising, membership on graduate student committees and exam guidance

The department will provide a list of advisees. The faculty member may include information about:

- advisee status (progress toward degree completion) with an explanation of the faculty member's role in advising;
- membership on and directorship of all graduate student committees assigned (theses and dissertations) and the faculty member's role on these committees as well as student progress (e.g. specify the name of the student, the level of the student, and his/her stage in the program);
- letters from current and former advisees or students working on theses/dissertations;
- colleague comments/observations about faculty interactions with students;
- examination guidance provided to students (students advanced to candidacy or completing comprehensive examinations); and
- opinions of advisees.
- describe membership on graduate student committees outside of the department

Evidence of research guidance and support

The faculty member may provide evidence of:

- external quality ratings for dissertations directed (e.g. Graduate School reviewer comments);
- publication of students' theses or dissertations or articles based on their thesis/dissertation research;
- thesis or dissertation awards received;
- number of students supported on research or training projects;
- opinions of current and former students; and
- employment settings of students.

### Evidence of professional improvement and innovation

The faculty member may provide evidence related to such things as:

- course or instructional materials developed;
- NIU's Instructional Improvement grants received or proposed;
- student opinions;
- collaborator/colleague observations;
- conferences or workshop attendance to improve teaching;
- incorporation of technology in instruction; and
- self-reports on the development and delivery of professional training activities.

### Evidence of effectiveness related to non-teaching professional assignments.

The faculty member should describe the nature of the non-teaching professional assignment (typically administrative, grant, or partnership work). Other information that may be included:

- documentation of feedback from those persons affected by the quality of professional performance in this assignment;
- feedback from the person supervising the non-teaching assignment (particularly in administrative roles);
- that portion of professional assignment time supported by grant activity and the effectiveness in carrying out the responsibilities of the grant; and
- description of partnership work, including feedback from school or field personnel affected by partnership work.

## **SCHOLARLY AND RESEARCH/CREATIVE ACTIVITIES**

### Evidence of publications and/or creative works

The list below indicates items the faculty member may describe in this section. Give full bibliographic reference for books, articles, and monographs. Identify them as new, reprints, readings, reviews, etc. Also note whether they are research based. Note all authors. For all articles, indicate whether they are refereed or non-refereed. Faculty members may describe the following:

- articles (indicate refereed or non-referred);
- articles co-authored with students (indicate refereed or non-refereed);
- chapters published by invitation in edited books or periodical volumes;
- published books or monographs;
- published critical reviews of books and monographs;
- textbooks for the education of professional educators;
- reports printed by sponsoring agencies, including professional organizations, legislative bodies, governmental agencies, foundations, or private firms;

- citations by others;
- book reviews;
- exhibits;
- performances;
- published or printed curricular/instructional materials and manuals;
- computer-based publications and programs; and
- media, including films, videos, and computer-based instructional materials.

#### Evidence of presentations

Faculty members should note whether the presentations were refereed conference presentations, non-refereed presentations, or invited addresses. Also note whether presentations were for international, national, regional, state or local audiences. Sample items that may be listed here include:

- presentations at professional conferences;
- presentations co-authored with students;
- invited addresses, presentations or testimonies;
- serving as a moderator for a conference presentation or panel;
- local/state workshops and presentations; and
- visiting professorships (list university, lectures offered, and dates).

#### Evidence of grant writing

Indicate grants written and their funding status. For those funded, indicate the purpose, nature, amount, and period for which grant was awarded. Also provide any evidence of effectiveness in carrying out the grant responsibilities. Items to list here include:

- grants or contract applications approved by external agencies through peer review;
- grants or contract applications approved by external agencies without peer review;
- grants approved by internal NIU bodies; and
- unfunded grants or contracts applied for either external or internal to NIU.

#### Evidence of scholarly activities in progress

The faculty member may describe the following:

- all writing and research submitted for review but not yet published;
- ongoing research or scholarship in progress indicating the stage of the work; and
- scholarly and professional development activities in progress.

## **SERVICE TO THE UNIVERSITY, THE PROFESSION, AND THE PUBLIC**

### Evidence of service to the university, college, and department

Faculty members should include service on relevant committees (department, college, and university level) and other work that serves the greater university community. Include a statement from the committee chair indicating some evidence of productivity and involvement.

- list committee names, membership status, length of service, frequency of committee meetings, amount of other time required, etc. for each committee;
- report service as a Dean's designee at dissertation defenses in other program areas;
- describe or document involvement in working with colleagues in mentoring activities;
- informal service rendered in support of department or interdepartmental goals;
- writing department/college proposals or reports;
- directing or presenting campus workshops; and
- sponsoring student organizations.

### Evidence of involvement in the development of the academic program

The faculty member should describe and document:

- involvement in the development of courses and/or academic programs for the preparation of professionals; and
- participation in professional development activities to acquire/develop new skills or knowledge that will benefit the academic program.

### Evidence of membership and involvement in professional associations

Faculty members should describe their involvement in professional activities including:

- memberships in professional associations, organizations, associations, or societies (describe the amount and type of your involvement in these professional activities);
- leadership positions held in professional organizations, associations or societies;
- service as an editor, member of an editorial advisory board, etc.;
- honors conferred by professional groups;
- invitations to address meetings of scholarly or professional organizations (identify whether state, regional, national, or international);
- invited participation in conferences on specialized topics in the fields;
- membership in selective and honorific societies;
- off-campus and on-campus professional conferences attended (describe the amount and type of your involvement); and
- membership on professional boards.

Evidence of professionally-oriented public service

Faculty members should describe the amount and type of involvement in public service activities.

Public service includes, but is not limited to:

- public speeches;
- workshops;
- concerts or productions;
- consultantships and contracts for services to local/state/federal agencies, legislators, professional associations, and other policy makers;
- radio and television appearances;
- editorial work that are not part of a professional organization;
- service related to community agencies or groups;
- partnership activities in schools or other field-settings;
- informational circulars, pamphlets, or workshops to assist school or field personnel to improve their skills or to implement policy options and mandates;
- participation on local school committees; and
- service to state boards or committees or serving on ISBE related committees.

*While not required, faculty members may choose to include a short self-reflection at the end of each section (teaching, scholarship, service) or at the conclusion of the Faculty Service Report or Tenure and Promotion Dossier.*

**Note:** Items/activities may be listed in only one of the three areas of evidence.

COLLEGE COUNCIL WORKING RULES  
COLLEGE OF EDUCATION  
FOR SABBATICALS, TENURE AND PROMOTION

Role of the College Dean/Faculty Chair in  
College Council Personnel Decisions

In keeping with the dual track system established at NIU, the College Council makes its personnel decisions prior to the College Dean. During the Council's considerations of merit ratings, sabbaticals, promotion, tenure, and reassessment or appeals of decisions concerning these matters, the Faculty Chair of the College Council will chair the meetings.

The Faculty Chair of the College Council, and/or the Dean will notify the Department Personnel Committee Chairs, the Department Chairs, and the Provost of the Council's decisions.

The Dean will notify the individual being ranked and the Provost's Office of the Dean's decisions. If there is agreement between the College Council and the Dean, the Faculty Chair and the Dean may co-sign the letter.

1.0 Sabbaticals

The College of Education generally receives an allocation of one sabbatical for every twenty-five (25) faculty, provided they are approved at all levels. If any other college does not use its allotment, then another college may be assigned additional slots even though the college has used its full allotment. Please refer to the University Policy on Sabbatical Leaves when developing a sabbatical proposal.

1.1 Initial Procedures

- 1.11 The College Council recommends that each Department Personnel Committee send at least one department representative to the Sabbatical Workshop each year.
- 1.12 It is the responsibility of the individual faculty member applying for a sabbatical to make modifications which may be suggested at the department level and arrange for sufficient copies to be provided to the College Council.
- 1.13 Sabbatical requests shall be in the hands of the College Council members 72 hours prior to a meeting date.

- 1.14 The Dean and Faculty Chair review the process of approving sabbatical requests with College Council prior to beginning the review process.
  - 1.15 Each College Council member receives a copy of the sabbatical request prepared by the faculty members. College Council members from each department present the rationale for the study to be undertaken by each respective department applicant, summarize the Department Personnel Committee's discussion, and answer questions concerning the proposal. After consideration of each request, the College Council votes (voice vote) to approve or disapprove the request.
  - 1.16 After each College Council member ranks the request (by secret ballot), the ranks are summed. The lowest total score is ranked number one by College Council, second lowest total, two, etc. The rankings, insofar as possible, should represent the department ranking (e.g., department rank could be number one, the College Council's rank three, and still be ranked in the same order as the department).
  - 1.17 After the College Council's decision, the Dean will indicate concurrence or non-concurrence.
  - 1.18 The Dean and Faculty Chair shall notify each applicant in writing concerning the Council's and Dean's recommendation.
- 1.2 Reconsideration and Appeal Procedures
- 1.21 Each applicant shall have the opportunity to petition for an appeal of the decision of the department. The majority of the College Council must vote to hear the appeal which should be based on new information that was not available when the original decision was made. Appeals of the Council's recommendation shall be filed within 14 days of notification; the appeal shall be heard in accordance with the policies of the College prior to the deliberations of the University Council Personnel Committee.
  - 1.22 If the appeal is approved, then the College Council members will reconsider the ranks of all sabbaticals submitted. The procedure outlined in 1.16 will be followed.
  - 1.23 After the College Council's consideration of the sabbatical appeal, the Dean will indicate concurrence or non-concurrence.

- 1.24 The Dean and Faculty Chair will notify each appellant in writing concerning the Council's and Dean's recommendation.
- 2.0 Tenure and Promotion to Associate Professor, Tenure Only, Promotion to Associate Professor Only, and Promotion to Full Professor
    - 2.1 External Evaluations
      - 2.11 A sufficient number of nominations of external evaluators (along with each evaluator's title, mailing address, and a brief biography) must be provided to the Department Chair as stipulated in The Criteria and Procedures Related to Personnel Decisions Within the College of Education to assure that a minimum of five reference letters are solicited, obtained, and the included in the tenure and promotion dossier.
      - 2.12 The reviewers nominated and selected to write reference letters should be individuals whose professional and personal distance/detachment from the candidate is clear. (For example: friends, co-authors, students, dissertation advisors, and graduate school colleagues should not be asked to serve as evaluators.) (UCPC Working Rule, 7.12)
    - 2.2 Initial Procedures
      - 2.21 Promotion and tenure requests must be delivered to the College Council members 72 hours prior to the meeting date when requests are to be considered.
      - 2.22 The Dean and Faculty Chair review the process of conducting the tenure and promotion review with the College Council prior to beginning of any deliberation.
      - 2.23 Each College Council member receives a copy of the dossier prepared by the faculty member. College Council members have the opportunity to review all supporting materials such as copies of articles, books, and teaching materials which are delivered to the Dean's Office by the respective department. It is expected that the Council member from the faculty member's department will present the individual's case, summarize the Department Personnel Committee's discussion, and answer questions that may arise from members of the College Council.

- 2.24 The College Council will consider tenure and/or promotion requests in the following order: tenure only, tenure and promotion to associate professor, promotion only to associate professor, and promotion to full professor.
- 2.25 It is not the role of the College Council to rewrite tenure and promotion applications; however, the College Council may suggest modifications. If modifications are recommended, those recommendations are taken back to the applicant via the department's College Council representative. If the applicant so desires, it is his or her responsibility to make the change(s) and return the corrected application with an appropriate number of copies to the College of Education Dean's Office.
- 2.26 After consideration of each case, a separate vote by secret ballot is taken for tenure and/or promotion by the College Council. The final numerical vote is not reported; however, the Dean will announce whether the decision was positive or negative.
- 2.27 After the College Council's decision, the Dean will indicate concurrence or non-concurrence.
- 2.28 The Dean and the Faculty Chair will notify each applicant in writing concerning the Council's and Dean's recommendations.
- 2.29 The Dean notifies each Department Chair and Department Personnel Committee Chair of initial recommendations which the Dean and the College Council have prepared, and, when appropriate, the Dean makes reassessment and formal appeal procedures explicit.
- 2.3 Reconsideration Procedures
- 2.31 The faculty member has the opportunity to appeal negative decisions in accordance with College and University policy. Article 7, section 7.1, Appeals at the College Level, NIU Constitution and Bylaws). Appeals of the recommendations(s) of the College Council and/or the Dean shall be filed within 14 days of notification.
- 2.32 The Dean receives, in writing, requests for formal appeals of department recommendations that specify the nature of the formal appeal requested, and the basis for requesting the formal appeal. The Dean delivers the appeal to the College Council.

- 2.33 When the College Council determines by vote that the request for a formal appeal presents sufficient evidence of bias or when established procedures have been violated, the College Council shall hear the formal appeal. The College Council shall hear formal appeals of individual faculty members based on evidence indicating unfair treatment, inadequate evaluation, or violation of established procedures, standards, or policies.
- 2.34 After a formal appeal has been heard, the Dean receives the final recommendations from the College Council.
- 2.35 A faculty member involved in a formal appeal to the College Council is notified of the final recommendations and the individual is informed of the procedure for appealing to the University Council Personnel Committee through the Provost. The recommendations are accompanied by statements of concurrence or non-concurrence.
- 2.36 The Dean forwards the recommendations for each candidate to the University Council Personnel Committee through the Provost. The recommendations are accompanied by statements of concurrence or non-concurrence.

Approved by the College Council February 16, 1996  
Revised by the College Council September 21, 2001  
Revised by the College Council October 4, 2002

## Personnel Procedures

On matters such as tenure, promotion and sabbaticals, all parties (Department Personnel Committee, Chair, College Council and Dean) are considered to be in agreement if:

- A. All four vote in the same way, or
  - B. College Council, Dean and either the Department Personnel Committee or Chair vote the same way. (6.341)
1. When the Department Personnel Committee and Chair agree to support, it is sent to the College Council for review. (6.242)
  2. When the Department splits the decision (Chair vs. Department Personnel Committee), it is sent to the College Council for review (6.243)
    - a. College Council may ask the department to reconsider. Reconsideration shall be done by both the Department Personnel Committee and the Chair. (College Council may need to review these cases first, so there is time to send back to dept.) (Article 7 introduction)
    - b. Candidate may request reassessment by Department. Reassessment shall be done by both the Department Personnel Committee and Department Chair. (Article 7 introduction)
    - c. As a last resort, candidate may appeal to College Council (see reasons for appeal below). No case should go forward to the College Council for appeal unless it can not be resolved through the reconsideration or reassessment process. (7.1)
  3. When the Department Personnel Committee and Chair agree to deny, the candidate may appeal to the College Council. (6.241)
  4. When the College Council and Dean agree to support a decision made by Department Personnel Committee and Chair, the case is forwarded to the Provost for information only. No UCPC action needed. (6.341)
    - a. When College Council splits (Dean vs. College Council) a decision where the Department Personnel Committee and Chair agree, it is sent to the UCPC for review. (6.343)
    - b. Candidate may ask for reassessment by the College. Reassessment shall be done by both the Dean and the College Council. (Article 7 introduction)
    - c. As a last resort, candidate may appeal to UCPC (see reasons for appeal below) (6.344)
  5. When the College Council and Dean both disagree with the Department Personnel Committee and Chair, it is sent to the department for reassessment. (6.32)
    - a. Candidate may ask College Council for reassessment. (Article 7 introduction)
    - b. As a last resort, candidate may appeal to UCPC (see reasons for appeal below) (7.2)

6. Decisions to deny which are in agreement are forwarded to the UCPC for information only.  
(6.341)

Reconsideration and reassessments must be filed:

- in writing
- stating the specific grounds for the reconsideration or reassessment
- including all pertinent evidence to support the reconsideration or reassessment
- within seven working days of notification of the appellant

Appeals must be filed:

- in writing
- stating the specific grounds for appeal
- including all pertinent evidence to support the appeal
- within ten working days of notification of the appellant

Grounds for appeal at the college level:

- inappropriate procedures were followed by the dept.
- insufficient or inappropriate criteria or evidence was used in arriving at the department decision
- other circumstances exist that the college considers legitimate, except those under article 7.213 (discrimination based on -isms, in which case the appeal is addressed directly to UCPC)

Grounds for appeal at the university level:

- the procedures, standards or policies of the college are unfair or inappropriate (appealed by individual or dept)
- college did not protect faculty member from departmental failure to adhere to specific procedural requirements set forth in constitution, by-laws or college/department guidelines.
- agency or individual within the university discriminated against a faculty member on the basis of sex, race, national origin, marital status, age, color, political views or affiliations, sexual orientation, handicapped status or other factor unrelated to professional performance. (Appeal goes to special hearing board, not UCPC).
- agency or individual within the university has infringed upon the faculty member's academic freedom