



**Northern Illinois  
University**

*College of Education*

## **The College of Education**

# **Criteria and Procedures Related to Personnel Decisions**

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## I. INTRODUCTION

Each department is charged with developing the strongest possible faculty within its power. To this end, the department recruits, employs, and supports the most promising faculty members. 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 Personnel Committee 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, and services contributions to the campus community and the profession. Faculty are recognized and rewarded for contributions in all these areas.

- A. Factors Related to Assessing the Quality of Teaching, Scholarship, and Service  
This section refers to the assessed quality of performance in the areas of teaching effectiveness; scholarly and research/creative activities; and department, college, university, and professional service. The College expects that faculty members will perform satisfactorily as teachers, maintain an ongoing program of scholarly research and/or creative activity, and regularly participate in service activities. The components used to assess teaching, scholarly and research/creative activities and service include the following:

### 1. The Competent Teacher

- a. Fully commands the subject including its historical antecedents, current research and literature, and 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 results of that inquiry;
- e. Identifies objectives to be pursued, methods of pursuit to be utilized, and the manner of evaluation to be employed;
- f. Shows fairness and skill in evaluating student performance;
- g. Provides academic assistance to students;
- h. Encourages intellectual dialogue and is respectfully sensitive to student responses;
- i. Remains enthusiastic about teaching and stimulates enthusiasm among students;
- j. Uses current and effective pedagogical approaches to instruction and varies those approaches where appropriate;
- k. Encourages and facilitates student creativity;
- l. Accepts responsibility for assessing and improving one's effectiveness as a teacher.

### 2. The Competent Scholar:

- a. Contributes to knowledge in the field by conducting research and/or engaging in creative activities;
- b. Shares results of scholarship with colleagues through publications, presentations, performances, exhibits, and/or speeches;
- c. Pursues knowledge by continuing one's study in the field;
- d. Participates in professional meetings and colloquia;

- e. Uses knowledge gained through scholarship to improve the quality of one's teaching and service.

3. The Competent Professor Services by:

- a. Maintaining membership in department, college, and university committees as appropriate;
- b. Participating and providing leadership in professional organizations;
- c. Supporting the efforts of colleagues and the department in achieving one's objectives;
- d. Consulting with professionals in schools and other settings;
- e. Promoting causes which advance the level of the profession and society;
- f. Engaging in professionally oriented public service activities;
- g. Developing programs for the preparation of professionals.

B. 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.

## 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 tenured.
    - c. The Department Chair should attend all DPC meetings. He/she shall be a nonvoting ex-officio member of the committee when the committee is formulating recommendations regarding tenure, promotion, merit evaluation, salary increments, 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 DPC's voting membership.
  3. Duties of the Department Personnel Committee (DPC)
    - a. Each DPC will develop and revise, with input and approval of the department faculty, the department's *Personnel Policies and Procedures Handbook*. The *Handbook* must include the following:
      - i. Method of selecting the department personnel committee, including alternate members;
      - ii. Size of the committee;
      - iii. Role of the department chair;
      - iv. Nature of any operating subcommittees;
      - v. Nature and power of any review committees;
      - vi. Definition of a quorum;
      - vii. Term of office of all members and considerations of continuity;
      - viii. Role of the College Council representative and alternate;
      - ix. Roles of committees, the Department chair, and department colleagues in bringing relevant information to bear on each kind of recommendation;
      - x. Criteria for retention, tenure, promotion, merit and sabbatical leaves;
      - xi. Rubric for merit review and a statement of how that rubric is related to tenure and promotion.
    - b. Submit all updated versions of the *Department Personnel Policies and Procedures Handbook* to the College Council for review and approval.
    - c. Inform department faculty of deadlines and dates for procedural action by the DPC, College Council, and University Council Personnel Committee (UCPC).
    - d. Review Faculty Service Reports and supplementary information.

- e. 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.
- f. Forward to the Dean, at the specified time through the Department Chair, all personnel recommendations.
- g. Implement reconsideration, reassessment, and appeal processes and make recommendations to the Department Chair of the committee's final action.
- h. Inform the College Council, in writing, of discrepancies in recommendations which exist between the DPC and the Department Chair after department reconsideration and/or reassessment processes have been followed.
- i. Conduct an annual performance review of the Department Chair. This responsibility consists of approving/making additions to the evaluation instrument, interpreting results, and presenting the results to the Dean. The DPC Chair and the Dean present the results to the Department Chair.
- j. Recommend changes for improving the instruments and procedures for evaluation of faculty members.

#### B. Department Chair

1. Provides each faculty member with a copy of the *College of Education Criteria and Procedures Related to Personnel Decisions and Department Personnel Policies and Procedures Handbook*.
2. Informs each faculty member of the guidelines for tenure and promotion included in the *NIU Constitution and Bylaws, College of Education Criteria and Procedures Related to Personnel Decisions, and Department Personnel Policies and Procedures Handbook*.
3. May assign a senior faculty member to assist candidates in the preparation of the candidate's tenure and/or promotion dossier.
4. Informs each faculty member, in writing, of the following actions of Personnel Committee:
  - a. The individual's annual merit rating and a comparison of that rating to others within the department.
  - b. The decisions made relative to retention, tenure and promotion, sabbatical leave requests, and other leave requests.
5. Informs faculty members of rights and obligations related to reconsideration, reassessment, and/or appeal actions. Requests for reconsideration and reassessment are to be submitted in writing to the DPC within the time limit prescribed in the *NIU Constitution and Bylaws*, 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. Notifies individual faculty members of the results, in writing, of requests for reconsideration or reassessment and, in case of a negative decision, informs them of the

procedures to be followed for appeal to the College Council level. Procedures for all petitions will be conducted according to the *NIU Constitution and Bylaws*, the *College of Education Criteria and Procedures Related to Personnel Decisions*, and *Department Personnel Policies and Procedure Handbook*.

7. May file an opinion contrary to a DPC recommendation regarding tenure, promotion, or sabbatical leave by completing the following steps:
  - a. Notifying the DPC in writing of the discrepancy.
  - b. Forwarding a separate letter to the College Council explaining the discrepant recommendation.
8. When considering merit evaluations and salary increments, the Department Chair will be a nonvoting, ex-officio member of the committee as stipulated in 6.1.4 of the *NIU Constitution and Bylaws*.
9. The Associate Dean will fill the role of Department Chair when a Department Chair is applying for promotion.
10. When a department does not have a Department Chair, such as when a Department Chair has retired/resigned and a new Department Chair has not begun the duties of the position, the Associate Dean will serve in the role of the Department Chair in DPC matters.
11. Adds a statement at the end of the external review letters for promotion and tenure to read: "Do you believe that the individual's research, artistic, and scholarly accomplishments would warrant tenure at NIU?"

#### C. College Council

##### 1. Membership

- a. The College Council will consist of one member from each department.
- b. The member or the alternate is required to attend all DPC meetings.
- c. The College Council will, as circumstances dictate, request an alternate from the department when a council representative is unable to serve in part or whole in deliberations concerning an entire cycle of personnel recommendations (i.e., sabbatical cycle, tenure and promotion cycle, promotion cycle). The alternate may vote upon personnel recommendations being considered.
- d. The Dean of the College will serve as co-chair of the College Council, but will not vote in matters concerning personnel recommendations. In keeping with the dual track system established at NIU, the College Council makes its personnel decisions and then the Dean indicates concurrence or non-concurrence.
- e. An Associate Dean will participate as a non-voting member.
- f. A faculty co-chair will be elected annually from the faculty membership of the College Council and will have voting powers.

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 UCPC.
  - b. Present the cases for tenure, promotion, 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) tenure, and (b) promotion, (c) faculty salary increment, and (d) sabbatical leaves in rank order.
  - d. Review all department personnel recommendations to insure that (a) appropriate professional standards of evaluation have been applied, and (b) the College of Education criteria related to personnel 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. When a decision involved 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, will notify individual faculty, in writing, about the results of the appeal and inform the individual faculty member 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, develop a written summary of the results, share the written results with the Dean and the Provost, and meet separately with the Dean and the Provost to discuss the results.
  - h. Conduct an annual evaluation of each Associate Dean and report the results to the Dean.
  - i. Advise departments regarding changes in University and/or College policy that require changes to *Department Personnel Policies and Procedures Handbooks*.
  - j. Review each Department's *Personnel Policies and Procedures Handbook* when changes have been made.
  - k. 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.

- l. With the Dean, prepare personnel calendar each year listing Department and College personnel meetings and deadlines.
  - m. The College Council shall operate in accordance with *Roberts Rules of Order (revised)*, unless otherwise stipulated.
    - i. Motions will be stated in the affirmative (e.g., I move that the College Council approve tenure for John Smith.).
    - ii. In the case of a tie vote, the motion is defeated.
4. College Council Faculty Co-Chair
- a. Works with the Dean and Administrative Assistant to develop and distribute agenda and materials at least 72 hours prior to each College Council meeting.
  - b. Ensures that all college and university personnel procedures are followed by the College Council.
  - c. Consults with appropriate individuals within the university to seek clarification and information when needed.
  - d. Chairs the meetings when the College Council considers tenure, promotion, merit ratings, sabbatical leaves, and reassessment or appeals of decisions concerning these matters.
  - e. Works with the Dean to notify the Department Personnel Committee Chairs, the Department Chairs, and the Provost of any College Council decisions that are required to be reported to the Provost.
    - i. If there is agreement between the College Council and the Dean on a personnel decision, the Faculty Co-Chair and the Dean may co-sign the letter to the Provost.
    - ii. If there is not agreement between the College Council and the Dean on a personnel decision, separate letters should be developed. In that case, the Dean is responsible for transmitting both letters to the Provost's Office.
  - f. Develops and signs other appropriate documents in consultation with the Dean and the other members of the College Council

### **III. POLICIES AND PROCEDURES RELATED TO RETENTION**

- A. Throughout every year of employment prior to granting tenure, the Department Chair makes a decision concerning the desirability of retaining a faculty member for employment for the succeeding contract year. To assist with this decision, the DPC will assess the faculty member's contributions in teaching and professional assignment, scholarship and research/creative activities, and service from the time of appointment.
- B. The College has a strong commitment to effective teaching. Therefore, members of the department will critically observe and provide written constructive feedback regarding the teaching performance of each faculty member at least once a year throughout their regular probationary employment period.

When concerns arise about a professor's teaching skills, it is incumbent upon the Department Personnel Committee, the Department Chair, and the individual professor to address the issue as soon as possible. The DPC, 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.

- C. Regular (probationary) appointments shall be for a specified term, renewable for a total of not more than seven years. Exceptions to this time frame must be made in advance and are granted under extraordinary conditions and in accordance with Human Resource Guidelines. 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 teacher 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 must be stated in the offering letter and is not subject to renegotiations once the faculty member has accepted the offer. Faculty on regular (probationary) appointments shall be guaranteed the following dates of notification concerning the university's decision not to renew the appointment:
1. 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.
  2. 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.
  3. At least twelve months before the expiration of an appointment after two or more years in the institution. A faculty appointment expires 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.  
(The above information is from the Regulations of the Board of Trustees: Section II. A.10.)
- D. 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.
- E. In the event there are insufficient appropriated funds to continue the appointment, notice must be given to the faculty member 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.

- F. 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.

#### **IV. POLICIES AND PROCEDURES RELATED TO ANNUAL AND THIRD-YEAR REVIEW OF PROBATIONAL FACULTY**

The Department Personnel Committee (DPC) and the Department Chair will conduct an annual written cumulative (Section 5.4 of the *NIU Constitution and Bylaws*) evaluation of progress toward tenure of all probationary faculty members. The annual review and 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 published in Department, College, and University guidelines for achieving tenure and shall minimally include strengths and weaknesses in the categories of teaching and professional assignment, scholarly and research/creative activities, and service to the university, community, and profession. Specific department procedures regarding the annual and third-year review process should be delineated in each department's *Personnel Policies and Procedures Handbook* and conform to the requirements outlined in Section 5.4 of the *Constitution and Bylaws*.

- A. The annual cumulative progress toward tenure letters must be definitive and must be submitted by the faculty member as part of the dossier for tenure. Each letter must include a statement indicating whether the faculty member is or is not making adequate progress toward tenure in each category.
- B. 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.
- C. The DPC and the Department Chair shall conduct a particularly thorough and formal cumulative evaluation of the progress toward tenure of any faculty member on a seven-year tenure track during the spring of the faculty member's third year. This evaluation shall be distinct and separate from the merit rating process. The Department Chair shall include in this written evaluation the Department's anticipated long-term need for the

position held by the probationary faculty member. This written evaluation shall be shared with the probationary faculty member and the Dean.

- D. For information regarding the particularly thorough and formal cumulative evaluation of the progress toward tenure of those faculty members on a four-, five-, or six-year tenure track, see Section 5.4 of the *NIU Constitution and Bylaws*.

## **V. POLICIES AND PROCEDURES RELATED TO TENURE AND PROMOTION**

- A. 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. In the tenure decision process, the department will conduct a careful evaluation of the faculty member's (1) effectiveness in teaching and professional assignment, (2) scholarly contribution, including research or artistry, grants, creative activities and other external peer evaluation of scholarship, and (3) service to the university community and the profession from the time of appointment or as otherwise negotiated.
- B. Only in unusual circumstances should tenure be recommended for assistant professors without the concurrent recommendation for promotion to Associate Professor.
- C. Although a faculty member's professional competence and achievements can best be judged at the department level, the College Council has expectations that the individual faculty member will perform satisfactorily in the classroom, maintain an ongoing program of scholarly activity, and regularly participate in service activities. Minimal expectations for the areas of professional assignment, scholarship, and service would ordinarily be demonstrated by the achievements listed in Appendix D. Although the College Council has set forth these minimal expectations, department personnel committees may enforce higher standards of performance that must be met by individual faculty members to achieve tenure.
- D. An individual seeking promotion to Associate Professor must demonstrate at least standard performance in all three areas: teaching and professional assignment, scholarly and creative activity, and service.
- E. An individual seeking promotion to Professor should meet the criteria delineated in Sections 5.3.1.1, 5.3.1.2, and 5.3.1.3 of the *NIU Constitution and Bylaws* and in the individual's departmental policies and procedures handbook.

The typical timeline for application for Promotion to Professor is six years.

1. Section 5.3.1.1 of the *NIU Constitution and Bylaws*: individuals being recommended for promotion to the rank of professor should present a continued record of successful teaching.

2. Section 5.3.1.2 of the *NIU Constitution and Bylaws*: Individuals being recommended for promotion must have given evidence of an ability and willingness to work cooperatively with colleagues in efforts to support and improve the programs of the department, college, and university.
3. Section 5.3.1.2 of the *NIU Constitution and Bylaws*: Evidence that the faculty member has achieved significant professional recognition among other leaders in the individual's discipline through publications, papers presented at professional meetings, artistic achievements, public service related to the discipline, or other forms of scholarly activity. Professional public service may be judged as contributing to professional recognition, but it does not substitute for evidence of scholarly achievement in research or artistry.

F. Procedures for the Review of Tenure and/or Promotion Requests

1. Before College Council members begin reviewing the tenure and promotion dossiers, the Dean and Faculty Co-Chair will delineate the process for conducting the tenure and promotion review with members of the College Council.
2. Each College Council member will receive a copy of the dossier prepared by each faculty member requesting tenure and/or promotion at least 72 hours prior to the meeting date when requests are to be considered. College Council members will have the opportunity to review all supporting materials such as journal articles, books, and teaching materials which are delivered to the Dean's office by the respective department.
3. For faculty requesting tenure, at least two members of the College Council who are not for the faculty member's department will be appointed by the Faculty Co-Chair to review the dossier to confirm that the College of Education's minimal criteria for tenure have been met.
4. 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.
5. For each faculty member requesting tenure and/or promotion, the Council member from the faculty member's department will make a motion to approve the request, present the faculty member's case, summarize the Department Personnel Committee's discussion, and answer questions that may arise from members of the College Council.
6. After discussion of each case, a secret vote of all faculty members of the College Council will be taken.

- a. After consideration of each tenure-only case, a separate vote for tenure will be taken by secret ballot.
  - b. After consideration of each tenure and promotion to Associate Professor case, a separate vote for tenure and subsequently for promotion will be taken by secret ballot.
  - c. After consideration of each promotion only to Associate Professor case, a separate vote for promotion will be taken by secret ballot.
  - d. After consideration of each promotion to Full Professor case, a separate vote for promotion will be taken by secret ballot.
  - e. A majority of the total votes is needed to recommend tenure and/or promotion. The Dean or Dean's designee will announce whether the decision was positive or negative; the specific number of Aye and Nay votes will not be reported to the College Council members.
7. For each case, after the vote of the College Council faculty members has been announced, the Dean will indicate concurrence or non-concurrence.
  8. The Dean and Faculty Co-Chair will work together to notify the faculty member and the Provost of the tenure and/or promotion recommendations. Copies of the notifications will be sent to the DPC Chair and the Department Chair.
    - a. If there is agreement between the College Council and the Dean on a tenure and/or promotion recommendation, the Faculty Co-Chair and the Dean may co-sign the letters to the faculty member and Provost.
    - b. If there is not agreement between the College Council and the Dean on a tenure and/or promotion recommendation, separate letters should be developed, shared, and discussed. In that case, the Dean is responsible for transmitting both letters to the individual and the Provost.
    - c. In cases where tenure and/or promotion are not recommended, the letter to the individual faculty member should outline the procedure to be followed for appeal to the University Council Personnel Committee.
  9. 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 departments' 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 prior to the deadline for submitting those copies to the Provost's Office.

## G. Procedures for Appeals of Tenure and/or Promotion requests

### 1. Appeal of Department Recommendation to College Council

- a. A faculty member has the opportunity to appeal the department's final recommendation to not approve tenure and/or promotion (Article 7 of the *NIU Constitution and Bylaws*). (Prior to this appeal, a faculty member who receives a negative recommendation for tenure and/or promotion can request that the DPC reconsider that negative recommendation. Procedures for reconsideration or reassessment at the department level should be delineated in each department's policies and procedures handbook.)
- b. The appeal to the College Council must be filed with the Dean within 10 working days of notification of the department's final recommendation. The request for a formal appeal of department recommendations must specify the general grounds (7.1.2.1 or 7.1.2.2 of the *NIU Constitution and Bylaws*), and the specific grounds for requesting the formal appeal. The Dean will deliver the requests to the College Council.
- c. Before the College Council hears an appeal, the relevant department shall have an opportunity to respond to the written appeal. Likewise, the appellant shall be informed of the department statement and shall have an opportunity to respond to it. (Article 7.1.3 of the *NIU Constitution and Bylaws*).
- d. After thorough consideration of the appeal, the College Council will vote on the appeal by secret ballot. The Dean or Dean's designee will announce whether the decision was positive or negative; the specific number of Aye and Nay votes will not be reported to the College Council members.
- e. The Dean will indicate concurrence or non-concurrence.
- f. The Dean and the Faculty-Co-Chair will convey a written notification to each appellant, the DPC Chair, and the Department concerning the Council's vote related to the appeal and delineate the next steps in the process.

### 2. Requests for Reassessment

- a. Requests for reassessment are initiated by the College Council.
- b. Requests for reassessment occur after a department's recommendation regarding approval or denial of a candidate's tenure and/or promotion application, but the College Council is not persuaded that the recommendation to approve or deny should be affirmed.

- c. The recommendation goes back to the department for reassessment.
- d. The College Council must provide a statement(s) of reasons for the reassessment.
- e. The department may resubmit recommendations if it wishes to do so.
- f. 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 inadequate professional standards or evaluation were applied by the department.
- g. Where noncompliance with the college policies and standards persists after reassessment by the department, the College Council will deny the recommendation and take steps to bring the department into conformance with college policies and standards.

## **VI. POLICIES AND PROCEDURES RELATED TO MERIT REVIEW**

- A. Responsibility for determining its system of reviewing and 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 a one given for lack of performance and a five given for the highest performance.
- B. Contents of the Faculty Service Report are available in Appendix C.
- C. The Department Personnel committee will submit Faculty Service Report scores (rounded to the first decimal point) to the College Council through the Dean. The College Council will examine the scores for possible irregularities and vote to accept or deny each department's merit scores.
- D. A faculty member may appeal his/her merit score to the College Council after all department reconsideration/reassessment procedures have been followed. The College Council will consider the appeal in accordance with the department's policies and merit review rubric.

## **VII. POLICIES AND PROCEDURES RELATED TO SABBATICAL LEAVE**

- A. 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. The College Council recommends that each Department Personnel Committee send at least one department representative to the Sabbatical workshop each year. Please refer to the University Policy on Sabbatical Leaves (article 8 of the *NIU Constitution and Bylaws*) related to the development of a sabbatical proposal and the role of the DPC in the evaluation process.

## B. Sabbatical Review Actions

1. The College Council will discuss the process of approving sabbatical proposals at the meeting prior to receiving the proposals. The Rubric for Sabbatical Proposals will be distributed for use in evaluation.
2. Sabbatical proposals will be in the hands of the College Council members at least 72 hours prior to the sabbatical review meeting date.
3. The College Council member from each department will make a motion to approve the sabbatical proposal of each respective department applicant. Following the motion, the College Council member will present the rationale for the work to be undertaken by each respective department applicant, summarize the Department Personnel Committee's discussion, and answer questions concerning the proposal. According to Article 8.3.4 of the *NIU Constitution and Bylaws*, when there is a difference of opinion between the DPC and the Department Chair, the College Council will review any differences of opinion and act in accordance with its own best judgment on the dispute.
4. After consideration of each proposal, the College Council will vote (voice vote) on the motion to approve the sabbatical proposal.
5. On a college-wide basis, each member of the College Council will rank the approved requests by secret ballot.
6. After each College Council member ranks the approved requests by secret ballot, the median score for each proposal will be calculated in order to determine the overall ranking. Further discussion and re-ranking may be needed if the medians do not result in a definitive ranked order. For example, if the initial ranking of 10 proposals results in median scores that indicate definitive rankings for the first, second, third, ninth, and tenth positions, re-ranking the remaining proposals will be done to determine the fourth through eighth slots. Multiple discussions and re-rankings may be needed to determine the final ranking. The final rankings should respect, as far as possible, the rankings submitted by the department.
7. After the College Council's decision, the Dean will indicate concurrence or non-concurrence.
8. The Dean and Faculty Co-Chair will notify each applicant in writing concerning the Council's and Dean's recommendation.

9. Any changes in departmental ranking of sabbatical leave applications shall be explained in writing to the affected department and applicants in a timely manner, with specific reasons(s) given for the ranking changes.
10. The Dean will report all sabbatical decisions to the Provost. Unresolved differences between a majority of the College Council and the Dean shall be reported in detail to the University Council Personnel Committee.
11. The College Council does not review sabbatical proposals from the following university personnel:
  - a. Individuals with rank in an academic department, but assigned to more than half-time administrative duties outside the college or department. Academic administrators may use either of two tracks.
    - (1) 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.
    - (2) 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 and comment and ranking.
  - b. Faculty no-rank persons (supportive professional staff)

## C. Appeal and Reassessment Procedures

### 1. Appeal of Department Decision to College Council

- a. An applicant has the opportunity to appeal the department's final recommendation to not approve the applicant's sabbatical proposal. The appeal must be filed within 10 working days of the notification of the department's final recommendation. The majority of the College Council must vote to hear the appeal which should be based on one or more the general grounds specified in 7.1.2.1 or 7.1.2.2 of the *NIU Constitution and Bylaws*.
- b. After the College Council has voted on the sabbatical appeal, the Dean will indicate concurrence or non-concurrence.

- c. The Dean and Faculty Co-Chair will notify each appellant in writing concerning the Council's and Dean's recommendation(s) and delineate the next steps in the process.
- d. If the appeal is approved, then the College Council members will reconsider the ranks of all sabbaticals submitted. The procedures outlined in VII. B. 5 through 10 will be followed.

2. Appeal of the College Council Decision to University Council

- a. The Dean shall notify each applicant, in writing, concerning the Dean's and College Council's recommendation(s), including the ranking. The applicant may file an appeal of the College Council's recommendation to not approve the sabbatical proposal within 10 business days of the dean's notification. The appeal must be based on the presentation of new evidence. The applicant may not file an appeal of the ranking.
- b. The College Council will hear appeals prior to the deliberations of the University Council Personnel Committee. After the College Council's consideration of the sabbatical appeal, the Dean will indicate concurrence or non-concurrence.
- c. The Dean and Faculty Co-Chair will notify each appellant in writing concerning the Council's and Dean's decision(s) and delineate the next steps in the process.
- d. If the appeal is approved, then the College Council members will reconsider the ranks of all approved sabbatical proposals. The procedures outlined in VII. B. 5 through 10 will be followed.

## VIII. 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.

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.

**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);
- opinions of advisees; and
- 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;
- 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'S CHECKLIST FOR EVALUATING MINIMAL TENURE CRITERIA

The role of the College Council is to review all department personnel recommendations to insure that (a) appropriate professional standards of evaluation have been applied and (b) college guidelines and policies have been adhered to and appropriate procedures followed. Although a faculty member's professional competence and achievements can best be judged at the department level, the College Council has expectations that the individual faculty member will perform satisfactorily in the classroom, maintain an ongoing program of scholarly activity, and regularly participate in service activities. Minimal expectations for the areas of professional assignment, scholarship, and service would ordinarily be demonstrated by the achievements listed in Appendix D. Although the College Council has set forth these minimal expectations, department personnel committees may enforce higher standards of performance that must be met by individual faculty members to achieve tenure.

Ordinarily, to be considered for tenure the following minimal expectations must be met in the area of **teaching and professional assignment**:

1. Average of the student ratings for the probationary period must be at or above the scale's mid-point for "overall teaching effectiveness of faculty member" question on the student evaluation form.
2. Evidence from peer observations and/or self-reflection on teaching indicates professional growth in the areas of innovative teaching, integration of technology, development of class materials, and student engagement.
3. Evidence of engagement in professional development for the improvement of teaching (e.g., FDIDC workshops, attending conference sessions, other workshops or programs).

In addition, one or more of the following activities:

1. Evidence of satisfactory performance in officially assigned non-teaching professional assignment.
2. Engagement in student advising with evidence of effectiveness.
3. Effective engagement in guiding theses, dissertations, honors projects, or other student research guidance by providing timely constructive feedback, with candidates making progress toward completion.
4. Submission and funding status of grant applications focused on instructional improvement.
5. Evidence of contributions to the scholarship of teaching and/or connection between scholarship and teaching (e.g., infusing research findings into teaching).

Ordinarily, to be considered for tenure the following minimal expectations must be met in the area of **scholarship and creative works and performances**.

Scholarship is the production and dissemination of knowledge and the creation and performance of creative works. Evidence of scholarship is varied and includes for example, articles, presentations, books, book chapters, grants, performances, artistic works, products, invited addresses, book reviews, columns, and so on. The specific nature and character of the evidence is critical in judging its value and importance in the tenure process. The collection of evidence suggested below is intended to be representative of minimal expectations but not definitive as we cannot describe every possible scenario. Ordinarily, the following minimal expectations in the area of scholarship would be met to achieve tenure:

**Part I** At least six points, with a minimum of three points coming from Part I A

**Part I A**

Points	Evidence
½	An article in a regional, state, or local refereed journal
1	An article in a national or international refereed journal
1	A chapter in an edited book
1	An authored or developed software product
1	An adjudicated artistic work or performance
1	Edited book
2	An authored book that has gained recognition among scholars in the field, such as appearing in World Catalog as being in the collection of at least 5 academic libraries

**Part I B**

Points	Evidence
¼	Internal grant funded < \$1500
¼	Internal grant application > \$1500 unfunded
½	Internal grant funded > \$1500
½	External grant application < \$10,000 unfunded
¾	External grant funded < \$10,000
¾	External grant application >\$10,000 to < \$50,000 unfunded
1	External grant funded > \$10,000 to < \$50,000
1	External grant application > \$50,000 unfunded
2	External grant funded > \$50,000
¼	Column in a journal or professional newsletter
½	Book review in a journal
½	Non-reviewed monograph
½	Non-adjudicated but reviewed creative work or performance

**Part II** – At least three points from the following:

Points	Evidence
¼	A non-peer-reviewed national, regional, state, or local presentation or workshop

1/2	A state or regional peer-reviewed conference presentation
1	A national or international peer-reviewed conference presentation
1	An invited address to a plenary session (not break-out session) of a state or regional conference
2	An invited address to a plenary session (not break-out session) of a national or international conference

Ordinarily, the following minimal expectations in the area of **service** must be met to achieve tenure:

At the PROGRAM/DEPARTMENT LEVEL:

1. Serves with *noticeable input and involvement* (i.e., attends and participates) on program and/or department committees.
2. Completes tasks and fulfills responsibilities in a timely and professional manner that contribute to the overall functioning of the department (i.e., completing and submitting course syllabi, updating course outlines, providing requested assessment data, supporting adjunct, mentoring junior faculty.)

Regarding PROFESSIONAL SERVICE:

1. Maintains active membership in professional organizations.
2. Serves on local, state, national, or international professional committees/task forces or serves as a reviewer for a journal or professional organization.
3. Provides evidence of public service work as noted in the College of Education Criteria and Procedures Related to Personnel Decisions document (Blue Book) under the category of professionally-oriented public service.

At the COLLEGE/UNIVERSITY LEVEL:

Serves on College and/or University committees *as needed or requested or eligible* for department representation.

With respect to COLLEGIALITY:

Demonstrates collegiality in all of the above service-related activities in accordance with the Department's collegiality statement.

## Rubric for Sabbatical Proposals

Weight	Category	4	3	2	1	0
2	Communicates scope, purpose and objectives in approved format.	All components (i.e., scope, purpose, and objectives) are clearly and concisely detailed. Grammatically correct.	Scope, purpose, and objectives are mostly clear <i>and/or</i> concisely detailed. May contain minor grammatical errors.	Gaps evident in scope, <i>or</i> purpose, <i>or</i> objectives. Could benefit from greater detail and connectedness. May contain minor grammatical errors.	Gaps in two of the three components (i.e., scope, purpose, objectives.) Lacks detail and connectedness. May contain minor to major grammatical errors.	Scope, purpose, <i>and</i> objectives are disconnected and unclear. Numerous grammatical errors may be evident.
3	Methodology or creative techniques, data sources and analysis, time frame, role of faculty.	Clear and appropriate methodology, (e.g., procedure, data sources, analysis); fits in time frame; clear role of faculty.	Mostly clear and appropriate methodology; however, either procedure <i>or</i> data sources <i>or</i> analysis could benefit from greater detail. Time frame is appropriate. Role of faculty may or may not be clear. OR Clear and appropriate methodology; however, time frame for completion is questionable given the proposal. Role of faculty may	Procedure <i>or</i> data sources <i>or</i> analysis is either unclear or inappropriate.  <i>and</i> Time frame for completion may or may not be appropriate given the proposal. Role of faculty may or may not be clear.	Two of three (i.e., procedure, data sources, analysis) are either unclear or inappropriate. Time frame for completion may be appropriate. Role of faculty may or may not be clear.	Methodology is unclear and/or inappropriate. Uncertain what data will be collected or analyzed, what faculty member will be doing, <i>and</i> proposal does not fit requested time frame.

			or may not be clear.			
Weight	Category	4	3	2	1	0
1	Logistical backup plans.		Logistical backup plans are clear and feasible.	Logistical backup plans could benefit from greater detail <i>or</i> feasibility may be questionable.	Logistical backup plans are mostly unclear <i>and</i> feasibility is questionable.	No logistical backup plans specified.
1	Contribution of proposed sabbatical on literature and/or professional practice.		Contribution of results is clearly detailed; high impact very likely.	Contribution of results could benefit from greater specificity, although will likely have an impact.	Contribution is unclear <i>or</i> minimal impact.	Contribution is not specified .
1	Connection to previous professional work.		Strong and clear connection to previous work. OR New initiative relevant to current work.	Some connection to line of work.	Primarily duplicating previous or current work.	No clear case of connection to previous or current line of work.
1	Outlets for publication, presentation and, future grant proposals.		Clear plan for dissemination with specific outlet(s) named and likely.	Clear plan for dissemination, although specific outlet(s) are either not named <i>or</i> not likely.	Plan for dissemination is mostly unclear.	Plans for dissemination not specified.

Weight	Category	4	3	2	1	0
1	Benefits to applicant, department, college and/or University mission and/or strategic plans.		Strong case for benefits to constituents (i.e., applicant, department, college, University mission and/or strategic plans).	Good case for benefits to 3 out of 4 constituents.	Good case for benefits to 2 out of 4 constituents.	Only benefits applicant.

**Total \_\_\_\_\_/35**

Minimally acceptable proposals require a score of 3 or 4 points for each of the first two categories (i.e., Communicates scope, purpose and objectives in approved format; Methodology or creative techniques, data sources and analysis, time frame, role of faculty) **and** at least a score of 2 points for each the remaining five categories.

Adopted: February 7, 2014

**Early Promotion to Associate Professor and/or Early Tenure**

A recommendation for early promotion and tenure is possible but requires that a case be made for extraordinary performance.

**Definition of Extraordinary**

Extraordinary performance is defined as exceptional achievement that far surpasses the criteria for standard performance in all areas: teaching/professional assignment, scholarship/creative works/performances, and service. Candidates must have national evidence of outstanding abilities in all aspects of teaching assignment; service to the University, profession, and community; and collegiality as to merit recognition among faculty and students as an exceptional educator and faculty member. In addition, candidates must provide evidence of outstanding achievements in scholarship and research, particularly scholarly publications and other academically recognized, creative achievements. This evidence must be confirmed by a clear consensus of external reviewers who are recognized scholars.

**Process**

Consultation among the Department Personnel Committee Chair, the Department Chair, and the College of Education Dean is essential prior to initiating the formal review process leading toward early promotion and tenure. Written documentation of this consultation must be placed in the faculty member's file. Next, the Dean formally consults with the Executive Vice President and Provost regarding the request for early promotion and tenure. Faculty members who choose to apply for early promotion and tenure and are not successful may reapply up to or during the penultimate year of the probationary period. In such cases, the faculty member must initiate the application process anew, including solicitation of updated external review letters.

Approved by College Council: May 6, 2016

Revisions approved by College Council: January 13, 2017 and February 17, 2017

**Early Promotion to Professor**

A recommendation for early promotion to professor is possible but requires that a case be made for extraordinary achievement in scholarship/creative works/performances and sustained excellence in the areas of teaching and service.

**Definition of Extraordinary**

Extraordinary performance is defined as exceptional achievement in scholarship creative works/performances that far surpasses the criteria for standard performance in both quality and quantity. This evidence must be confirmed by a clear consensus of external reviewers who are recognized scholars.

**Process**

Consultation among the Department Personnel Committee Chair, the Department Chair, and the College of Education Dean is essential prior to initiating the formal review process leading toward early promotion. Written documentation of this consultation must be placed in the faculty member's file. Next, the Dean formally consults with the Executive Vice President and Provost regarding the request for early promotion. Faculty members who choose to apply for early promotion and are not successful may reapply in subsequent years. In such cases the faculty member must initiate the application process anew, including solicitation of updated external review letters.

Approved by College Council: March 3, 2017

## Reconsideration, Appeals, and Reassessment

### Requests for Reconsideration

1. Requests for reconsideration may be initiated by the candidate for tenure and/or promotion leave following a recommendation for failure to make a recommendation by the Department Personnel Committee and/or chair.
2. The candidate makes the request for reconsideration to the department.
3. The request must be based on “new information”.
4. The request can be approved or denied by the department.
5. If the request is approved, the department will consider the application and make a new recommendation.

### Appeals

1. Appeals may be initiated by the candidate for tenure and/or promotion following a recommendation or failure to make a recommendation by the Department Personnel Committee and/or chair.
2. Appeals are made to the higher body (College Council).
3. Appeals are based on one or more of the following grounds:
  - a. Inappropriate procedures were followed by the department;
  - b. Insufficient or inappropriate criteria or evidence was used;
  - c. Other circumstances that the College Council deems legitimate.
4. Appeal statements must be in writing.
5. The department has the opportunity to respond to the appeal, the candidate can respond to the department statement.
6. If an appeal is sustained, the department’s recommendation is overridden.
7. The candidate or department may appeal the College’s recommendation or failure to make a recommendation to the next higher body (University Council Personnel Committee).
8. A candidate or college may appeal a higher-level recommendation (e.g., a recommendation of University Council Personnel Committee).

### Requests for Reassessment

1. Requests for reassessment are initiated by the College Council.
2. Request for reassessment occurs after a department’s recommendation regarding approval or denial of a candidate’s tenure and/or promotion application, but the College Council is not persuaded that the recommendation to approve or deny should be affirmed.
3. The recommendation goes back to the department for reassessment.
4. The College Council must provide a statement(s) of reasons for the reassessment.
5. The department may resubmit recommendations if it wishes to do so.

### Procedures following Reassessment

1. 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 or substantial evidence that inadequate professional standards or evaluation were applied by the department.
2. Where noncompliance with the college policies and standards persists after reassessment by the department, the College Council will deny the recommendation and take steps to bring the department into conformance with college policies and standards.

## Collegiality Statement

Consistent with the university collegiality policy ([APPM Section 11. Item 22](#)) the following statement is designed to provide a framework for fostering collegiality within departments and across the College. It is intended to help facilitate discussion and activities that foster a collegial and collaborative environment. There is an expectation that each faculty member demonstrates collegial behavior, and there is an equal expectation that departments work to foster a collegial and collaborative environment that values individual faculty members and provides opportunities and support for engagement.

The College Council does not consider collegiality as an evaluation category separate from teaching/professional assignment and service. Departments may wish to incorporate elements of collegiality within existing departmental criteria related to teaching/professional assignment and service.

### College Council Collegiality Statement

The College Council (CC), with support derived from the *Constitution and By-Laws of Northern Illinois University* (Article 5: The Academic Process) and the *Academic Policies and Procedures Manual* (Statement on Professional Behavior of Employees University Collegiality Policy Section II. Item 22), adheres to the idea that “collegiality” is a subset of professional and academic behaviors exhibited by a faculty member, especially as collegiality relates to professional interactions.

The college considers collegiality for faculty members as it is addressed in the categories of Teaching and Professional Assignment, and Service to the University, Profession, and Public. The college intentionally attempts to avoid judgment based on the personal style of a faculty member, general sociability, or introvert or extrovert characteristics.

Professional expectations that are indicative of “collegiality” include:

- Consistently interacts with students and advisees in professional and supportive manners.
- Consistently interacts with faculty and staff with respect and professionalism.
- Displays sensitivity to issues of equity and inclusion.
- Actively contributes to development and implementation of program and departmental initiatives and priorities.
- Responds promptly and professionally to requests for information or assistance from staff, students, administration, or peers.
- Completes agreed upon tasks in professional and timely manner.

Approved by College Council March 3, 2018