

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.

**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;
- 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.