

SIU SOUTHERN ILLINOIS UNIVERSITY
CARBONDALE DEPARTMENT OF EDUCATIONAL
ADMINISTRATION & HIGHER EDUCATION

Operating Paper

SOUTHERN ILLINOIS UNIVERSITY AT CARBONDALE
COLLEGE OF EDUCATION

DEPARTMENT OF EDUCATIONAL ADMINISTRATION
AND HIGHER EDUCATION

OPERATING PAPER

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I. PURPOSE

The purpose of this operating paper is to set forth the mission, programs, administration and procedures under which the Department of Educational Administration and Higher Education functions, consistent with the operating paper of the College of Education, the approved contract between the SIUC Faculty Association and the SIUC Board of Trustees, and the governing policies of Southern Illinois University at Carbondale.

II. MISSION

The mission of the Department is to prepare leaders for administrative and teaching careers in schools, colleges, universities, public and private agencies. Such leaders should be thoroughly grounded in the knowledge base, theoretical models, research paradigms, practical applications, and ethical implications of their respective career paths.

III. PROGRAMS

The Department of Educational Administration and Higher Education offers master's programs, certification programs and a Ph.D. in Education with a concentration in educational administration. All programs and concentrations are recognized by the College, the Graduate School, SIUC, and by the Illinois Board of Higher Education. The programs and concentrations are:

Educational Administration Programs:

- A. Master's of Science in Education with a concentration in Educational Administration.
- B. Ph.D. in Education with specialties in a School Executive Program and in a General Administrative Program.
- C. Certification programs leading to Level II and Level III Illinois Administrative Endorsement.

Higher Education Programs:

- D. Master's of Science in Education with concentration in College Student Personnel.
- E. Master's of Science in Education with concentration in Community College Teaching.

IV. ORGANIZATION

The organization of the Department consists of the Faculty, the Chair, and the Standing Committees. Ad hoc committees may also be set up for special purposes.

A. Faculty

Membership in the Department of Educational Administration and Higher Education is identified by two definitions that indicate respectively the broad association of academic professionals identified with the Department.

1. Departmental Faculty

The Department includes all tenured and tenure track Faculty and those with academic rank who are budgeted individually for at least 50% of their time in the Department.

The Departmental Faculty have voting privileges.

2. Departmental Membership

Department membership includes all those with academic rank including adjunct and visiting Faculty. Department membership does not entitle voting privileges.

B. Faculty Responsibilities

The responsibilities of the Faculty are consistent with SIUC policies and the approved contract between the SIUC Faculty Association and the SIU Board of Trustees. General responsibilities involve teaching, student advisement, research and publication, professional service, and service to department, college and university committees.

V. ADMINISTRATION

Department Chair

1. The Department is administered by the Department Chair who is a member of the continuing Faculty holding tenure in the Department. The Chair is the chief fiscal officer, is responsible for coordinating academic matters, and is generally responsible for administration of the Department consistent with the provisions of the Department and College of Education Operating Papers. The Chair is accountable to the Faculty and to the Dean for matters related to the administration of the Department.

2. Selection and Appointment of the Chair

When the position of Chair becomes vacant, the Dean of the College of Education, after consulting with the Department Faculty, shall appoint as Acting Chair, a tenured Professor or Associate Professor from within the Department. The Acting Chair will assume all

of the responsibilities of the Chair until a permanent Chair is appointed. The Dean, in consultation with the Department Faculty, will establish a search process which minimally includes, required and desirable characteristics, criteria for selection, a timetable for the search and selection of a permanent Chair. The search should be carried out as expeditiously as possible.

3. The Chair shall submit to Faculty, no later than the end of September of each year, a tentative schedule of courses for the succeeding academic year. The Faculty will review and accept the schedule subject to the agreement reached under Article VIII.

4. Review of the Chair

It is expected that the chair will function effectively as the department administrator and will work with Faculty, staff and students in an open, honest and fair manner. The chair will consult with Faculty on all policies and procedures affecting the department prior to their implementation. When the Chair does not satisfactorily meet these expectations, the following no-confidence process engages:

a. At least two Faculty members are needed to initiate the no-confidence process regarding the Chair. They will send a written statement to the Chair of the Personnel Committee who will convene the Department Faculty to discuss the Chair situation. The Department Chair will be invited to address the Faculty regarding the concerns, after which the Department Chair will leave the meeting.

b. Should a majority of Faculty present at the specially convened meeting vote by secret ballot to move forward with the no-confidence process, the Chair of the Personnel Committee will invite the Dean of the College to a meeting of the Faculty where matters

pertaining to the performance of the Chair will be discussed and a remedy developed for implementation within an agreed-upon time period.

c. The Dean of the College of Education will be asked to meet with the Chair to implement the agreed-upon course of remediation.

d. At the conclusion of the remediation period the Chair of the Personnel Committee shall convene the Department Faculty to discuss the performance of the Department Chair and a vote of no-confidence will be taken at that meeting. The vote shall be by secret ballot. The results of such a vote will be reported at the same meeting. In the event of a majority vote of no-confidence in the Department Chair the vote will be forwarded to the Dean and to the Department Chair. It is expected that the Dean will meet with the faculty at the earliest possible time to establish an acceptable course of action.

e. Whenever a meeting is called under the provisions of the no-confidence process, every effort must be made to assure the attendance of all Department Faculty. Notice of the meeting shall be given at least seven business days prior to the meeting date. Only those votes cast at a duly-called meeting shall be valid.

VI. STANDING COMMITTEES

The Standing Committees shall elect their own officers, and shall work out their policies and procedures subject to review and revision by the Faculty. The members of the Standing Committees shall be appointed annually by the Chair in consultation with the Faculty. The

Chair is an ex-officio member of all Standing Committees. Additional standing committees may be instituted as the Faculty may determine.

A. Personnel Committee

1. Makes recommendations to the Faculty with regard to employment, remediation, suspension, or termination of a member of the Faculty.

2. Works with the Chair in recruitment and selection of all Department personnel in accordance with the criteria approved by the Faculty. When a personnel position becomes vacant the Personnel Committee shall meet with the Chair to review the status of the vacant position as soon as feasible, prepare a position description based upon agreed-upon needs of the Department, establish qualifications for the position, describe a process to be followed in recruitment and develop a timeline for recruitment and selection.

3. Reviews promotion and tenure dossiers according to the Promotion and Tenure policies of the Department and makes recommendations to the Chair. The Chair will meet with the Committee prior to submitting his/her recommendations to the Dean.

4. Conducts an annual review of the Department Operating Paper.

5. Serves as the informal step in the Faculty grievance process.

6. Oversees the review of the Chair. (See V-4)

7. Monitors the peer review process for teaching performance of untenured Faculty.

8. Advises the Chair on the performance evaluation and the merit review procedures, criteria and implementation.

B. Admissions Committee

1. Recommends to the Faculty criteria for admission to all academic programs.
2. Screens and recommends to the Chair, student admission to academic programs in accordance with approved criteria. Applicants not meeting the stated admission criteria, and who may have "special" circumstances, may be admitted by a majority vote of the Committee.
3. Admission differences between the Chair and the Committee will be resolved by vote of the Faculty. The Chair may make "emergency" admissions when Faculty are not available. Such admissions must be reported to the Faculty at the earliest opportunity.
4. Assists the Chair in the selection and appointment of graduate assistants.

C. Curriculum Committee

1. Reviews and makes recommendations to the Faculty concerning course additions, deletions and alterations, and changes in the University Catalogue descriptions.
2. Initiates and carries out program reviews, subject to the approval of the Faculty.
3. Assures compliance with standards related to accreditation and student learning outcomes.
4. Advises the Chair with respect to course scheduling.

D. Preliminary Examination Committee

1. Schedules and conducts Preliminary Examinations.
2. Prepares and oversees the grading of the examinations and reports results to the Faculty.
3. Studies the process and makes recommendations for change to the Faculty.

E. George S. Counts Committee

1. Works for the promotion of the lecture, student award, and all other matters related to the promotion of the memory and spirit of George S. Counts.

2. Assists the Dean of the College in the annual selection of the student recipient of the George S. Counts Doctoral Award.

F. Ad hoc Committees

Ad hoc committees may be appointed by the Faculty or the Chair as the need arises. They are disbanded upon the completion of their assigned task.

G. Student Participation

A student is defined as a person duly admitted and in good standing within the Department. The Curriculum Committee, the George S. Counts Committee, and all appropriate Ad hoc Committees will have one student member who will have voting privileges. Students interested in serving on Departmental committees should make their interests known to the Chair of the Department. Student organizations affiliated with the Department are encouraged to solicit student applications for committee membership.

The Chair of the Department will meet at least annually with the officers of any duly constituted student organization within the department.

VII. DEPARTMENT MEETINGS

A. The Department shall meet monthly during each of the academic semesters, and during the summer as needed. A calendar listing the meetings dates for the academic year shall be

distributed prior to the first Department meeting in the Fall Semester.

- B. The Chair (or a designee) shall preside over regular and special Department meetings.
- C. The Chair or two members of the Faculty may call a special meeting.
- D. An agenda will be developed by the Chair and circulated at least three days prior to each meeting. Faculty may add items to the agenda prior to its circulation to the Faculty.
- E. A majority of the Faculty constitutes a quorum and, where a vote is taken, a majority of the Faculty is needed to approve any proposal.
- F. The vote of two Faculty members is required to call for a secret ballot.
- G. Written proxies will be included in a vote count. The proxy will clearly specify the item for which the proxy vote is to be cast.
- H. No issue may be voted on unless that issue has been given to each voting member of the Faculty at least 3 days prior to the vote.

VIII. PERFORMANCE EVALUATION AND MERIT REVIEW

Members of the Faculty are expected to teach and advise effectively, engage in research and publication, and perform service within the Department, College, University, the Profession, and the Community according to their assignments. The Performance Evaluation process is developed to acknowledge both a satisfactory level of performance by a Faculty member and recognize meritorious work and excellence in assigned activities. The Chair is responsible for fairly administering the requirements of this section in accordance with the procedures and criteria as stipulated herein. The Personnel Committee advises the Chair both on the

performance evaluation and merit review procedures and criteria, as well as on their implementation. These should not be read as intent to review individual cases.

A. Assignment of Duties

1. During April of each year, the Chair shall schedule a meeting with each Faculty member to discuss and reach agreement upon the assigned duties, including a tentative schedule of courses to be taught, for the succeeding calendar year (e.g., meet in April 1999 for the assignment starting in January 2000). A written form of the assignment shall be prepared describing the percentage of time to be allocated to teaching and advisement, research and publication, and service. Given the traditional role and expectations of a Carnegie Research II university, the percentage of assignment allocated to research should generally be in the 20-to-25% range for a tenured or tenure-track Faculty member. The performance evaluation shall be based on those percentages as specified in the written assignment form.

2. A copy of the assignment form shall be given to the Faculty member and a copy will be maintained in Department files. Subsequent changes in assignment may be made by mutual agreement and in writing between the Faculty member and the Chair.

B. Procedures for Performance Evaluation

1. Each Faculty member shall submit, by December 1 of each year, an updated curriculum vitae for that calendar year, or from the date of employment, showing accomplishments in the areas of teaching and advisement, research and publication, and service. These accomplishments should be reflective of the assignment as previously agreed upon with the Chair. In addition, each Faculty member's curriculum vitae shall be maintained in

Department files.

2. The Chair shall evaluate each Faculty member according to the departmental criteria referred to VIII-E as "Merit Standards." This evaluation shall be prepared in written form.

3. The Chair shall schedule a meeting with each Faculty member and provide the Faculty member with a copy of the written performance evaluation. This written performance evaluation will also form the basis for any recommendations made to the Dean by the Chair in regard to progress toward tenure and the continuing employment of untenured Faculty members.

4. If a Faculty member feels the performance evaluation is incomplete, inaccurate, or unjust, and such disagreement with the Chair's evaluation remains, the Faculty member may put any objections in writing and have such objections appended to the written evaluation by the Chair. The Faculty member may also utilize any grievance procedures available for such purpose.

C. Merit Review

1. As all Faculty members are evaluated on the basis of their performance in the areas of teaching and advisement, research and publication, and professional and university service consistent with their agreed-upon assignment, the performance evaluation process shall also comprise the basis for any merit review in a year when merit awards are to be given to the Faculty.

2. In considering merit awards, the areas of teaching and advisement, research and publication, and service shall be weighted for each Faculty member according to the agreed-upon percentages specified in the written assignment form. (See: VIII-A-1)

3. A special page(s) appended to the updated curriculum vitae may be submitted to the Chair pursuant to the December 1 deadline specified above. The purpose of the special page(s) is to provide supporting information in addition to the curriculum vitae. Each Faculty member is responsible for assembling and presenting any additional documentation for merit review.

4. In cases where completion of an activity may occur over more than one year (e.g., publication of a book), consideration will be given by the Chair, subject to prior negotiations with the Faculty member, to the progress made toward completion during the year of the review.

5. The Chair shall conduct the merit review in each of the areas of teaching and advisement, research and publication, and service on a weighted basis and using a 3-point scale reflecting the relative degree to which each Faculty member meets the Merit Standards. To arrive at a final rating for the merit award, the Chair will take the 0, 1, 2, or 3 points for each area and multiply each by the percentage weighting for each area. The sum of these numbers for the three areas shall comprise the merit award rating. (NOTE: The highest merit award rating would be a 3.0, or 3 points multiplied for 100% [1.00] of the Faculty member's assignment.) This procedure is intended to have the effect for merit purposes of placing emphasis on the category where a Faculty member has the greatest responsibility.

6. It is expected that a majority of standards will be met at each level to earn the appropriate merit points.

7. The Chair shall inform each Faculty member in writing of his/her merit evaluation prior to forwarding a recommendation to the Dean. Each Faculty member will be notified of the actual salary adjustment for the merit award as soon as such information is available to the Chair.

8. The Chair shall report to the Personnel Committee on the general distribution of salary adjustments for merit before any recommendation is sent to the Dean. This report shall be general in nature and need not refer to individual evaluations or adjustments.

9. A Faculty member may appeal the merit award rating and recommendation of the Chair, first to the Chair and then to the Personnel Committee. If satisfaction is not reached, the Faculty member may then utilize any grievance procedures available for such purpose.

D. Merit Standards

1. **Teaching and Advisement.** Each Faculty member is responsible for developing and presenting evidence of teaching and advisement effectiveness to the Chair. Untenured Faculty are expected to have ICE summaries on file and are required to have an annual peer evaluation.

Level 1--Basic (one merit point):

- fulfills duties as assigned (Section VIII-A), observes appropriate policies, and conducts classes competently.
- maintains currency in his/her discipline and updates syllabi regularly.
- is available and advises adequately.

Level 2--Superior (two merit points):

- excels in teaching organization, teaching behaviors, and student learning activities.
- recognized as an excellent teacher as demonstrated by student and peer evaluations.
- provides advisement leadership, and devotes time to students beyond that expected.

Level 3--Exceptional (three merit points):

- widely recognized as an exemplary teacher as demonstrated by student and peer

evaluations, letters, and other related documentation.

- uses imaginative approaches to teaching (e.g., *Powerpoint*, cooperative learning, etc.).
- provides exceptional advisement leadership (e.g., chairs more student papers to completion than the departmental averages by category [dissertations/theses/research papers], serves on extensive numbers of committees, etc.).
- produces graduates who write quality dissertations/theses/research papers.

2. Research and Publication. A Faculty member's record of research and publication should clearly indicate that individual's capacity for and commitment to the quality production of original work.

Level 1--Basic (one merit point):

- engages in research and publication commensurate with time assigned.

Level 2--Superior (two merit points):

- exceeds that expected and produces observable outcomes such as published results in refereed journals.

- presents at local, state or regional conferences.
- is involved in grantsmanship.

Level 3--Exceptional (three merit points):

- produces publications beyond that expected (e.g., books, book chapters, several refereed journal articles, book reviews, etc.).
- presents at national/international conferences where papers are peer evaluated.
- produces evidence that his/her research is having a major impact on field (e.g.,

publication citations, invited keynote address, etc.).

- is successful in bringing in sizable grants.

3. **Service.** All members of the department are expected to perform responsibly on committees to which they are assigned or elected. Committee assignments within the Department will be made only after appropriate consultation with the individuals involved.

Level 1--Basic (one merit point):

- engages in activities commensurate with time assigned for such activities.
- serves on departmental committees and carries his/her share of responsibility for the success of the committee's activities.

Level 2--Superior (two merit points):

- exceeds that expected, going beyond departmental level and including leadership roles.
- is involved in field service work (e.g., staff development, consultancies, etc.) to professional organizations/agencies, etc.

Level 3--Exceptional (three merit points):

- engages in extraordinary service activities at university, state, and regional levels (e.g., elected to Graduate Council, Faculty Senate, or other top leadership roles).
- engages in service activities at the national level, which includes at least one leadership role (not restricted to chair).
- is involved in field service work beyond that in Level 2.

IX. PROMOTION AND TENURE

A. Promotion and Tenure are governed by the promotion and tenure guidelines of the Department, the College of Education, the Collective Bargaining Agreement between the Faculty Association and the Board of Trustees of SIU, and of SIUC.

B. General Guidelines

1. In determining when it is appropriate to recommend a Faculty member for promotion, consideration is given to the individual's achievements for the entire period of his/her professional career with special emphasis on achievement and potential for achievement at SIUC.

2. A good record of teaching and research is expected for granting of tenure. In order for an untenured assistant professor or associate professor to be recommended for tenure, the individual should have demonstrated satisfactory teaching at SIUC and his or her other professional accomplishments should be commensurate with those required for promotion to that rank. An assistant or associate professor will ordinarily not be recommended for tenure or promotion until or after that individual's first year in the department.

3. Research productivity standards for promotion to the several ranks should be similar to those at the Doctoral degree granting universities comparable to SIUC. A record of quality research is established by research articles published in refereed journals. Publications of scholarly books, and monographs are indicative of quality research.

4. Early promotion can and should occur after varying lengths of time in rank so that the exceptional achievements may be recognized.

5. An Assistant Professor normally will not be recommended for tenure unless he or she

is at the same time recommended for promotion to the rank of Associate Professor.

C. Time in Rank

1. At each level (Assistant or Associate Professor) time in rank refers to the number of years in that rank at SIUC plus the number of years in that rank in a comparable university prior to the individual's appointment at SIUC. The number of "prior years" to be included should be agreed upon at the time of initial appointment at SIUC.

D. Promotion to Associate Professor

Ordinarily an assistant professor will not be considered for promotion to the rank of associate professor until that individual has served at least one year at SIUC and has at least three years in rank. Recommendation for early promotion in rank requires evidence that the candidate's research and publication record is exceptionally strong and that candidate's teaching is above average. An assistant professor may be recommended for promotion after six years in rank if he or she is an effective teacher, and has established a good record of research publication, and service. A recommendation before that time requires that these minimum standards have been exceeded.

E. Promotion to Professor

Ordinarily an associate professor will not be considered for promotion to the rank of Professor until that individual has served one year at SIUC and has at least three years in rank. However, a recommendation for promotion after only three years in rank (or earlier in rare cases) requires evidence that the candidate has substantially increased his or her research and publication reputation during his or her time in rank and that candidate's teaching is above average. An

associate professor may be recommended for promotion after the sixth year in rank if he or she is an effective teacher, has acquired a substantial reputation for research and publication, and has contributed to the welfare of the department and the university through service activities. A recommendation before that time requires that these minimum standards have been exceeded.

F. Procedures for Tenure

1. It is the responsibility of the Faculty member to give to the Chair written notice of intention to apply for tenure in accordance with the established calendar.
2. The Chair will provide to the Faculty member a written statement of the criteria, procedures, and deadlines.
3. Upon the request of the candidate, the Chair will designate a Faculty member to assist the candidate in preparing the dossier. The dossier should be prepared in a manner compatible with the College of Education guidelines.
4. The Chair will ensure that letters of recommendation are solicited for the dossier and that the dossier is prepared in a timely fashion for review by the Faculty.
5. The Personnel Committee will review the candidate's dossier and make recommendations for any revisions.
6. All department tenured Faculty will review the dossier prior to a vote by secret ballot. A good faith effort will be made by the Chair to obtain votes from all department tenured Faculty members.
7. The Chair will count the ballots and report the results immediately to the voting Faculty.

8. The Chair will convey the results of the ballot together with the Chair's own comments to the dean.

9. Each candidate for tenure will be informed in writing by the Department Chair about the action taken by the Department and by the Chair.

G. Procedures for Promotion

1. It is the responsibility of the Faculty member to give to the Chair written notice of intent to apply for promotion in accordance with the established calendar.

2. The Chair will provide the Faculty member a written statement of the criteria, procedures, and deadlines.

3. Upon the request of the candidate, the Chair will designate a Faculty member to assist the candidate in preparing the dossier. The dossier should be prepared in a manner compatible with the College of Education guidelines.

4. The Chair will ensure that letters of recommendation are solicited for the dossier.

5. The Personnel Committee of the Department will review the candidate's dossier and make suggestions for subsequent revision.

6. All Faculty holding the rank to which the candidate aspires and all Faculty holding a higher rank will vote by secret ballot. A good faith effort will be made by the Chair to obtain votes from all eligible Faculty members.

7. The Chair will count the ballots and report the results immediately to the voting Faculty.

8. The completed dossier, including the results of the Faculty vote, will be forwarded to

the Dean, unless the candidate submits a written request to withdraw the dossier.

9. Each candidate for promotion will be informed by the Chair about the action taken by the Department and by the Chair pertaining to the candidate's case.

10. An individual Faculty member who is denied promotion at the departmental level may refer to SIUC policies for possible further action.

11. Early promotion, i.e., seeking promotion before the normal length of time in rank, is understood to be extraordinary and requires a higher standard of evaluation.

X. GRIEVANCE PROCEDURES

A. Faculty Grievances

The Grievance Procedures for the Faculty and Administrative Staff is specified in the SIU Employee Handbook, and the Collective Bargaining Agreement between the SIU Board of Trustees and the SIUC Faculty Association. Copies are available from the Chair upon request.

B. Student Grievance

1. The Department shall adhere to the grievance policies and procedures established by the College of Education as they relate to undergraduate students and to those established by the Graduate School in the case of graduate students.

2. Matters of sexual harassment, research misconduct, and academic dishonesty are governed by SIUC policies and procedures.

3. Copies of policies and procedures governing student grievances are available from the Chair upon request.

XI. AMENDMENTS

This Operating Paper will be considered approved when it receives a two-thirds vote by all eligible Faculty, and may be amended at any regular or special meeting of the Departmental Faculty by a similar two-thirds vote. The details of proposed amendments must be circulated to the Faculty along with the advance notice of the meeting at least five school days prior to the scheduled meeting.

Upon approval by the eligible Faculty all changes will be forwarded for approval to the Dean and then to the Chancellor (or designee).

Approved by vote of the Faculty - Jan. 21, 2000