

**THE OPERATING PAPER**  
**FOR THE**  
**COLLEGE OF ENGINEERING**  
**OF**  
**SOUTHERN ILLINOIS UNIVERSITY – CARBONDALE**

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## **A. Mission Statement**

The College of Engineering of Southern Illinois University, Carbondale (hereinafter referred to as the “College of Engineering” or the “College”), is an educational unit of the University seeking excellence in teaching, research, and service in the areas of engineering, technology, and related fields.

Undergraduate and graduate education is the primary mission of the College. At the undergraduate level, the College will strive to develop and enhance the academic programs that form the foundation for both engineering practice and research. As the initial stage and training ground for life-long learning, they provide a strong background in the sciences, mathematics, and the fundamentals of engineering, as well as an appreciation for the impact of engineering on society. At the graduate level, the programs are designed to prepare students for positions of leadership in research, teaching, engineering, and management.

An equally important additional mission is to carry out research aimed at the discovery, innovation, and development of new engineering methods and technologies. Individual and interdisciplinary research will be continuously supported and encouraged. A few of the areas of activity include communications, intelligent systems, information processing, materials, manufacturing, natural resources, transportation, energy, and the environment.

A third mission of the College includes service to the industrial, governmental, and business establishments in the region and the State through consultation, manufacturing extension service, internships, and technology transfer. The community is also a focal point for service with activities such as engineering education, outreach programs, off-campus degree programs, cooperative education, and continuing education. This mission will address society’s pressing problems by influencing the next generation of engineers as well as through direct faculty service.

As part of its mission, the College will strive to recruit and retain quality students, especially from women and minority groups, into its accredited undergraduate programs. The College is also committed to increasing its faculty and staff members from women and minority groups. Encouraging diversity is a goal of this College and the University.

## **B. Relationship between the College of Engineering Operating Papers and the Department Operating Papers**

In addition to setting procedures for the College, this operating paper is intended to set procedures for the department operating papers to meet. In some cases, the department operating papers may exceed the requirements set in the College paper, but in cases of conflict, the College paper will supersede the department operating paper. In case of conflict, the College Operating Paper is secondary to the appropriate Faculty Association Contract or the latest version of the Employee Handbook.

### **C. Definition of Voting Faculty**

#### 1. Definition of Faculty

The faculty of the College shall consist of all professors, research professors, associate professors, assistant professors, instructors, lecturers, and adjunct, emeritus, and visiting appointees holding academic rank in the College.

#### 2. College Faculty Having Voting Rights

The Voting Faculty of the College shall consist of all tenured and tenure-track faculty of the College, with the following exceptions:

- a. A person enrolled in a degree program in the department in which he/she holds academic rank;
- b. Anyone with less than a 50% appointment in the College;
- c. A Voting Faculty member on leave with or without pay for a full term or more, excluding sabbatical leave;
- d. Any faculty whose administrative assignment is greater than or equal to fifty (50) percent of his/her total assignment.

For further clarification, it should be noted that term, visiting adjunct, and emeritus appointees are not Voting Faculty of the College.

#### 3. Faculties and Voting Faculties of Academic Departments

Each academic department of the College shall determine the membership and Voting Faculty requirements of its own unit. Such membership represented at the College meetings of any two or more academic departments of the College shall not be inconsistent with the definitions of the "faculty of the College" and "Voting Faculty of the College" above.

4. Faculties and Voting Faculties of Undergraduate Degree Programs

At the beginning of the fall and spring semesters, the Secretary of the College Faculty will ask each member of the College faculty to register his or her affiliation with one undergraduate degree program. A faculty member of the College is eligible for affiliation in any academic degree program in which the member held an assignment of 1/3 or more of his/her total assignment in the College of Engineering during the previous year. Individuals exclusively assigned to one department in the College will automatically be registered as affiliated with that undergraduate degree program. Such memberships represented at the College meetings or meetings of any two or more academic programs or departments of the College shall not be inconsistent with the definitions of the “faculty of the College” and “Voting Faculty of the College” above.

5. Graduate Faculty

The graduate faculty of the College shall consist of all members of the faculty of the College who have graduate faculty status.

**D. Roles, Responsibilities, and Evaluation of Dean**

The Dean represents the College and provides leadership for the achievement of its educational objectives and goals, based on the support, trust, and confidence of the faculty.

1. Roles and Responsibility

The Dean is the chief fiscal officer of the College and is responsible for budgetary decisions. In order to facilitate an atmosphere of openness, the Dean will present his/her proposed budget at a College-wide faculty meeting several weeks before its submission to the Provost’s office. This will allow time for the Dean to consider the feedback and approval of the College faculty. Every fall semester, the Dean will present the actual expenditure of funds at a College faculty meeting. The Dean will maintain a current open file report in the Dean’s office disclosing the specific proposed and actual expenditures. This report will be available in the Dean’s office to members of the Voting Faculty of the College.

2. Dean Review

The Voting Faculty of the College, operating through an elected ad hoc review committee, shall periodically (at least every three years) review the performance of the Dean. A review can be called at any time, except as

noted below, by a petition of 1/3 or more of the Voting Faculty of the College to the Secretary of the College faculty. The committee shall solicit Voting Faculty input using a written evaluation form, which includes a question of faculty confidence in the Dean. The committee shall report the review outcome to the Voting Faculty. Additionally, both review outcome and comments shall be forwarded to the Dean and the Vice Chancellor for Academic Affairs and Provost. A vote of no confidence by more than 50 percent of the total Voting Faculty constitutes unsatisfactory performance and a recommendation by the Voting Faculty to the Provost for the Dean's replacement. Any new review process shall not be conducted sooner than six (6) months from the date of the reporting of the review results.

#### **E. Roles, Responsibility, and Evaluation of Chairs and Directors**

##### **1. Department Chairperson**

The chief administrative officer of an academic department shall be the chairperson of that department. The chairperson of each department shall be chosen and reviewed according to procedures set forth in each department operating paper and shall serve at the pleasure of the body named in that operating paper.

##### **2. Directors of Centers**

Directors of the College centers shall be nominated every three years by the Dean and confirmed by a simple majority of the College Voting Faculty who respond to a mail ballot. The Dean will determine whether to appoint the director of the center based on his/her appraisal of the progress and the need for continuity of the program. The College centers shall provide an annual report to the faculty within which the procedures used to award grants and grant recipients are included.

#### **F. Merit Criteria and Process of Awarding Merit Raises**

The purpose of this section is to provide the basis for departments within the College to develop consistent procedures for recognizing the contribution of faculty members of the College in the areas of teaching, research, and service. Any contradictions between procedures adopted by a department and the procedures in this College document should be resolved based on the guidelines presented in this College document.

Application of the evaluation criteria is to be based on the assigned effort in the areas of teaching, research, and service. It is thus imperative that the assigned effort accurately reflect a faculty member's duties and that there be a clear understanding between the department chair and each faculty member in the department with respect to that faculty member's assignment. Thus, each department chair must meet each year with each faculty member once when assigned efforts are agreed upon and again following the review of a faculty member's achievement report. The achievement report must be submitted by each faculty member to the department chair by February 1 each year in order to permit the review prior to submission of salary recommendations by the department chair to the Dean.

1. Merit Increase Guidelines Criteria

a. Overall Criteria

- i. All faculty members on continuing, nine-month, tenure or tenure-track appointments, including those on sabbatical leave and professional development leave, will be evaluated on the basis of performance and productivity relative to the other faculty members in the department.
- ii. Having merit increase guideline criteria for part-time or temporary faculty members should be addressed in the operating paper of each department.
- iii. The performance and productivity evaluation will be used to distribute the merit portion of annual salary increases.
- iv. The evaluation will be carried out by the department chair in accordance with the departmental operating paper and used in making a salary increase recommendation. The evaluation, as well as the recommended salary increases, will be submitted to the Dean for review and approval.
- v. Performance and productivity will be assessed separately in the areas of: (a) teaching, (b) research/creative activity, and (c) service. Weights assigned to each of these areas will be proportional to the previously agreed-upon load assignment of the faculty member in each of the three areas.
- vi. Merit increase evaluations will be based on the load assignment and relative productivity for the calendar year. The departmental procedures must establish criteria for

determination of load assignments and relative productivity. The department chair's assessment of assignment for each of the three areas will be used. Faculty members will be evaluated only in those areas where they had a load assignment. If the circumstances during the year significantly change the assignment, a written communication from the department chair to the faculty member must reflect the change of assignment.

- vii. An evaluation of performance and productivity in each of these areas will be done separately. The relative performance of each faculty member will be evaluated in those areas where they have a load assignment.

b. Evaluation Criteria

The following criteria are meant to be general guidelines for the entire College. For specific criteria details refer to individual department operating papers.

i. Teaching

Teaching will be judged on the basis of the following factors. Items (a), (b), and (c) are mandatory; the remaining will be considered if applicable.

- (a) Teaching evaluation by the department chair, following procedures agreed upon by the department faculty in accordance with the department operating paper;
- (b) Instructor and Course Evaluation (ICE) scores, and/or a suitable alternative evaluation as determined by the department. Administration of Instructor and Course Evaluations should be done by procedures agreed upon by the department faculty. The method of evaluation shall be uniform within a department;
- (c) Consideration, as determined by the department operating paper, of size, type, and level of classes, and number of graduate students supervised and additional effort for laboratory and special projects courses;

- (d) If applicable, evaluation of additional materials and assessment procedures in improving teaching effectiveness for university credit courses based on information of his/her choice supplied by the faculty member;
- (e) If applicable, evaluation of efforts in developing or preparing of new courses, academic programs, computer software or web pages for instruction, and publication of textbooks, course notes, and laboratory manuals;
- (f) If applicable, performance in off-campus courses, participation in workshops, short courses, distance learning, and other continuing education activities;
- (g) If applicable, teaching honors and awards;
- (h) If applicable, teaching-related publications in journals or conference proceedings or magazines as rated by the department operating paper.

ii. Research and Scholarly Activity

Evaluation of research and scholarly activities will take the following activities into account:

- (a) Publication of articles in peer-reviewed journals, technical magazines, conference proceedings (a list and ranking of these publications should be available in the department operating paper) and research book chapters or other peer-reviewed publications;
- (b) Publication of other technical articles and reports;
- (c) Technical paper presentations;
- (d) Preparation and submission of proposals to external funding sources;
- (e) External grants or contracts received;
- (f) Internal grants or contracts received;

- (g) Participation in scholarly activities of a recognized research center;
- (h) Other documented creative activity such as patents, consultations, permits to regulatory agencies, or other documented innovations;
- (i) Consideration of the number of graduate students (thesis or non-thesis) supervised and the number of graduate thesis committees served;
- (j) Technical reviews (if not included under Service Activities).

iii. Service Activities

The following activities will be taken into account:

- (a) Membership in University committees, task forces, or other special committees;
- (b) Membership in College committees;
- (c) Membership in departmental committees;
- (d) Faculty Association activities;
- (e) Active participation in student retention, recruitment, and advisement;
- (f) Special assignments;
- (g) Committee or task-force chairpersonships;
- (h) Active participation in technical societies and organizations such as offices held or participation in special activities;
- (i) Technical reviews (if not included under Research and Creative Activity);
- (j) Providing consultation or expert witness service (if not included under Research and Creative Activity);
- (k) Faculty development;

- (l) Student recruitment and retention initiatives;
- (m) Involvement with a University-approved student organization;
- (n) Involvement in community service.

2. Responsibility of the Dean's Office

The Dean shall allocate to each department the percentage specified by the University for salary increases. The department chair makes recommendations to the Dean based upon the established criteria and procedures outlined in that department operating paper. The Dean will review the procedures and recommendations of the department chair to determine whether the College and department salary increase criteria were applied in a fair way within the department. If changes are to be made concerning the chair's recommendations, justification will be submitted in writing to the chair, with a copy to the faculty member. The Dean may appoint an ad hoc advisory committee to assist in any aspect of this process.

**G. Promotion Policies and Procedures for Faculty**

It is essential that the College of Engineering (COE) faculty be dedicated to achieving excellence in teaching, research/scholarly activity, and professional contributions to preserve and strengthen the vitality of the College. Academic promotion is awarded to those faculty making continuing contributions in these areas commensurate with their workloads. The preservation of quality requires that all persons recommended for promotion clearly satisfy the general criteria presented herein. Fairness requires that these criteria be applied as uniformly as possible.

A basic format for promotion dossiers will be given to faculty members eligible to be considered for promotion based on the latest edition of the Employee Handbook. A common format for presenting the supporting information will help assure fairness in the decision-making process. As promotion requires that a person's entire professional contribution be reviewed, the format calls for information on educational background, previous academic and professional experience, teaching and advising activities, scholarly contributions, and service activities. Some departments may wish to add special categories.

A faculty member will be evaluated for promotion in any year at his/her request. A tenured faculty member below the rank of professor must have his/her dossier submitted for review by the department at least every five years unless the faculty member requests in writing that it not be reviewed.

The faculty member should assist in the preparation of his/her dossier according to procedures outlined in the department operating paper. The faculty member should be allowed to submit whatever he or she considers relevant to promotion in addition to any information or material required by the University, College, or department guidelines.

1. General Criteria

The following criteria are meant to be general guidelines for the entire College. For specific criteria details refer to individual department operating papers.

- a. Teaching: The first step in promotion is an evaluation of teaching effectiveness. Only after an affirmative judgment as to teaching effectiveness has been made can serious consideration be given to an evaluation of scholarship and professional service. Unless a determination is made that the candidate is an effective teacher, whether at the departmental or interdisciplinary level, promotion will not be granted. Teaching includes an up-to-date knowledge of one's discipline. In some instances teaching may be indirect, primarily in support of student learning activities. Faculty members also contribute to teaching by designing courses and curricula. Textbooks and innovative instructional material may be considered contributions to teaching. In addition, faculty members teaching in less tangible, but no less decisive, ways through such activities as counseling students, through conversations with colleagues, etc., may be considered contributions to teaching.

Detailed and specific evidence of effective teaching should be included in the dossiers of faculty members being recommended for promotion. Evidence should include the following:

- i. Teaching evaluation by the department chair, by procedures agreed upon by the department faculty in accordance with the department operating paper;
- ii. Instructor and Course Evaluation (ICE) scores, and/or a suitable alternative evaluation as determined by the department. Administration of Instructor and Course Evaluations should be done by procedures agreed upon by the department faculty. The method of evaluation shall be uniform within a department;

- iii. Consideration, as determined by the departmental operating paper, of size, type, and level of classes, and number of graduate students supervised and additional effort for laboratory special projects courses;
  - iv. If applicable, evaluation of additional materials and assessment procedures in improving teaching effectiveness for University credit courses based on information of his/her choice supplied by the faculty member;
  - v. If applicable, evaluation of effort in development or preparation of new courses, academic programs, computer software, or web pages for instruction, and publication of textbooks, course notes, and laboratory manuals;
  - vi. If applicable, performance in off-campus courses, participation in workshops, short courses, distance learning, and other continuing education activity;
  - vii. If applicable, teaching honors and awards;
  - viii. If applicable, teaching-based publications in journals or conference proceedings or magazines as rated by the departmental operating paper.
- b. Research and Scholarly Activity: Detailed and specific evidence of effective research and scholarly activity should be included in the dossiers of faculty members being recommended for promotion. Evidence should include the following:
- i. Publication of articles in peer-reviewed journals, technical magazines, conference proceedings (a list and ranking of these publications should be available in the department operating paper) and research book chapters or other peer-reviewed publications;
  - ii. Publication of other technical articles and reports, educational papers;
  - iii. Technical paper presentations;
  - iv. Preparation of proposals to external funding sources;
  - v. External grants or contracts received and work on grants or contracts received by other faculty;

- vi. Internal grants or contracts received;
  - vii. Participation in scholarly activities of a recognized research center;
  - viii. Other documented creative activity such as patents, consultations, permits to regulatory agencies, or other documented innovations;
  - ix. Consideration of the number of graduate students (thesis or non-thesis) supervised and the number of graduate thesis committees served;
  - x. Technical reviews (if not included under Service Activities).
- c. Professional Service Contributions: The following activities will be taken into account:
- i. Membership in University committees, task forces, or other special committees;
  - ii. Membership in College committees;
  - iii. Membership in departmental committees;
  - iv. Faculty Association activities;
  - v. Active participation in student retention, recruitment, and advisement;
  - vi. Special assignments;
  - vii. Committee or task force chairpersonships;
  - viii. Active participation in technical societies and organizations such as offices held or participation in special activities;
  - ix. Technical reviews (if not included under Research and Scholarly Activity);
  - x. Providing consultation or expert witness service (if not included under Research and Scholarly Activity);
  - xi. Faculty development;

- xii. Student recruitment and retention initiatives;
- xiii. Involvement with a University-approved student organization;
- xiv. Involvement in community service.

2. Minimum Standards for Academic Affairs Ranks

Standards must be provided in the department operating paper. They should be reasonably achievable for a full-time person working with effort distributed as specified in the individual faculty member's assignment in that rank. Each department must provide a clear definition of effective and superior performance and each department may have requirements defined for each rank which exceed those of the College. The minimum College requirements for promotion to each academic rank are given below:

- a. Assistant Professor: Promotion is not possible from any of the nontenurable ranks, except as provided under the policy in the latest edition of the Employee Handbook as authorized by the Faculty Association Contract.
- b. Associate Professor: The nominee should previously have met all requirements for the rank of Assistant Professor and should meet the following requirements as well: (1) Four years of academic experience at tenure-track level in the rank of Assistant Professor from the date of appointment or submission of dossier for promotion to Associate Professor. Time spent on leave or in rank at another institution may be counted if there seems reason to believe that the faculty member's experience was such as to enhance his/her academic qualifications; (2) Evidence of either superior teaching or superior research; and (3) Evidence of effective performance in the areas other than the one where superior performance is required under item 2 (i.e., research and service or teaching and service) with evidence indicating that the faculty member is developing a substantial record as a teacher and a scholar.
- c. Professor: The highest rank to which one may be promoted is that of Professor. Possession of this rank should indicate that the individual has given long and meritorious service and has demonstrated continuous growth in his discipline. The candidate should have achieved recognition on a national or international scale and show promise of continued significant productivity.

The nominee should previously have met all requirements for the rank of Associate Professor and should meet the following requirements as well: (1) Four years of experience at tenure-track level in the rank of Associate Professor from the date of appointment or submission of dossier to Associate Professor. Time spent on leave or in rank at another institution may be counted as indicated in the requirements for Associate Professor; (2) Demonstrated continued growth and a cumulative record as a superior teacher; (3) A demonstrated superior research record as evidenced by peer-reviewed contributions such as articles in leading journals in one's discipline; presentation of papers before regional, national, and international professional groups; receipt of substantial research grants; (4) Successful direction of research, as for graduate theses, or leadership in other research activities; and (5) Service of a superior nature, usually of such kind as to make the individual nationally known in his/her discipline, or alternatively as a leading figure in service efforts promoted by the institution itself.

### 3. Decision-Making Process

- a. Originating Departments: Recommendations for promotion originate with the department according to its operating paper. The primary responsibility of evaluating individual promotion requests in terms of those standards shall be assigned to the faculty in the department(s) in which the request for promotion is made.

Procedures should also allow for a formal vote of "applicable Voting Faculty members" for the promotion. The applicable Voting Faculty members for the formal vote shall include all professors who hold tenured or tenure-track appointments for promotion to the rank of professor, all professors and associate professors who hold tenured or tenure-track appointments for promotion to the rank of associate professor. To avoid any person having two votes, any administrative official (including chair) responsible for subsequent recommendation of the candidate is excluded from voting.

In transmitting the department's recommendations to the Dean, a department chair must indicate who has been consulted, the form of the consultation, the vote of the appropriate faculty member group, and the vote of any departmental committee (if any) charged with recommending promotion as outlined in the department operating paper. The recommendations of the department chair shall be reported to the faculty of the department. The written recommendation of the department chair and any

promotion/tenure committee shall be provided to the candidate. All dossiers reviewed by the department shall be forwarded to the Dean. Faculty members may request in writing that their dossiers be withdrawn from consideration.

The department chair shall, in cooperation, with the candidate, prepare and forward a formal promotion dossier to the Dean. Included in the dossier, at the time it is forwarded, should be a statement signed by the candidate that he or she has reviewed the contents of the dossier. Once the dossier leaves the department, no further information should be added to the dossier other than that required by collegial procedures with regard to the review committee's and the Dean's recommendation.

In the College of Engineering it is not possible to hold different academic ranks in different departments. Therefore, for faculty members who hold half-time (50/50) appointments in two departments, the recommendation for promotion must be a joint submission of both departments concerned and the promotion recommendation shall be considered to be positive only if both departments make positive recommendations. Promotion recommendations must be processed according to the regular procedures of both departments. It is incumbent upon the department chairs of both departments to insure initiation of the review process.

If a faculty member holds less than a half-time appointment in one department and more than a half in another department, promotion recommendations shall be made by the department where the major responsibility lies. It is this department's responsibility to originate consideration of promotion and to inform the secondary department of its intent. For these unequal joint academic appointments, promotion recommendations must be processed according to the regular procedures of both departments (except in the case of zero fiscal line appointments). However, while the department must process the candidate according to its normal procedures, the outcome of its deliberations shall be provided to the primary department. The primary department shall take into consideration the secondary department's opinion and shall include it as part of the dossier. In the case of zero fiscal line appointments, the secondary department shall not participate in the promotion process.

In the case of a faculty member who has administrative or other non-faculty duties outside the department in which he or she holds

rank, the department has the responsibility for originating promotion recommendations. Candidates holding such joint appointments shall meet the same standards required of other faculty members of a similar rank within the department. The administrative officer in the other administrative unit in which duties are performed should be consulted by the department chair. A letter should be solicited from such an administrative officer for the dossier, detailing and evaluating the administrative or other duties performed.

In addition to the required consultation with faculty members of senior rank within the department and the joint consideration of joint appointments, originating departments are urged to consult with others who may have special knowledge of the performance of candidates and to solicit letters from such persons for the dossier. Examples of such persons include faculty members from other departments when candidates under consideration have taught a number of students from those units, or who have served on a number of doctoral committees in those units, or have engaged in interdisciplinary teaching or research with members of those units. It is also appropriate to solicit letters from administrative officers in various parts of the University concerning service by the candidate to those units.

Comments from qualified persons outside Southern Illinois University, Carbondale, are strongly encouraged. Such persons, as defined in the department operating paper, should be asked to comment on the quality of published research or creative products of a candidate, on his/her service to professional or other organizations, on the candidate's teaching in a visiting capacity in another university, or on other relevant matters within their competence to judge. All solicited letters from within or outside the University must be included in the dossier so that reviewers may have access to all relevant information.

- b. Collegiate Review: It is the responsibility of the Dean to recommend either positively or negatively on all promotion recommendations forwarded by the department chair. The Dean shall forward to the Vice Chancellor for Academic Affairs and Provost all recommendations, together with a statement indicating all reasons for the recommendations. In all cases, a copy of the Dean's written recommendation shall be forwarded to the department chair and the candidate. A faculty member may request in writing that his/her dossier be withdrawn from consideration. In the process of reviewing the recommendation,

the Dean is encouraged to convene the College-Wide Committee on Promotion for non-binding advice as to those recommendations. In making a recommendation to the Vice Chancellor for Academic Affairs and Provost, the Dean shall specify the nature of the report and the vote of this Committee.

4. Documentation

- a. Materials to be provided by the candidate to the department:
  - i. Appropriate supporting materials that cannot be provided from department files;
  - ii. All materials required by the department operating paper;
- b. Materials to be provided by the department chair to the Dean:
  - i. A separate letter concerning each candidate, giving the following information:
    - (a) Department chair's evaluation of candidate's:
      - Teaching
      - Research, and
      - Professional service;
    - (b) The vote of voting members;
    - (c) The candidate's response to any comments, recommendations, or decisions added to the dossier. (The candidate shall be given three (3) working days to prepare for such response.);
    - (d) Applicable external review documentation;
    - (e) A summary of the procedures followed by the academic unit in evaluating the candidate;
    - (f) Applicable department operating paper;
    - (g) Complete dossier of the candidate.

- c. Materials to be supplied by the Dean to the office of the Vice Chancellor for Academic Affairs and Provost:
  - i. A cover letter summarizing collegial procedures;
  - ii. The dossiers of all candidates;
  - iii. The recommendations of any College-wide review committee, including the vote of such a committee;
  - iv. A letter of recommendation by the Dean for each candidate.

## **H. Tenure Policies and Procedures**

- 1. Tenure Definitions
  - a. Purpose: Through academic tenure the University finds one important means for protecting academic freedom and for providing continuing employment in a tenurable academic rank.
  - b. Duration: Tenure extends from the date of its award to the date of retirement. Tenure may be abrogated only by resignation, retirement, or other disciplinary conditions allowed by the Faculty Association Contract.
  - c. Eligible Academic Ranks: Members of the faculty with the rank of professor, associate professor, and assistant professor are eligible for tenure. One may not attain tenure in such positions as research associate, researcher, lecturer, assistant instructor, instructor, or in any adjunct or visiting rank.
  - d. The Locus of Tenure within the College: The locus of tenure within the College is in the department(s) from which the recommendation for tenure originates. Only academic departments may initiate, grant, have or share tenure or tenure-track positions. Neither the College nor a center within the College may grant tenure-track positions. A tenured faculty member may serve a term appointment within the College as a whole or within a center, but the locus of tenure must in all cases be an academic department.

## 2. Non-Tenured Faculty Appointments

- a. **Term Appointment:** A term appointment is employment for a specified period of time. Instructors and all non-tenurable faculty appointees shall be given a statement in writing of the conditions and period of their employment. Term appointments may be renewed; however, reappointment to such a position creates no right to subsequent employment or presumption of a right to subsequent employment.
- b. **Continuing Appointment:** Continuing appointees are serving in a probationary status leading to the possible awarding of tenure. A continuing appointment may only be awarded to faculty in the ranks of assistant professor, associate professor, and professor. A continuing appointee is automatically reappointed each academic year unless given appropriate notice. The faculty member thus notified is entitled upon request to a written statement of the reasons for nonreappointment. All continuing appointees are subject to annual adjustments as negotiated in the Faculty Association Contract regarding salary and other conditions of employment.
- c. The notice of nonreappointment may be referred to applicable article(s) in the Faculty Association Contract.

## 3. Tenured Faculty Appointments

- a. **Tenured Appointment:** A tenured appointment assures the right of the faculty member to the permanent holding of an academic position of employment. The tenured faculty member's contract, however, is subject to annual adjustments as negotiated in the Faculty Association Contract regarding salary, rank, and the conditions of employment.
- b. **The Basic Academic Appointment:** Tenure applies only to a basic nine-month appointment each year. Tenure does not apply to administrative positions. If faculty members holding such positions have tenure, it is held in accordance with their appointments in academic units. An academic unit with authority to initiate tenure recommendations may recommend for tenure an administrator who does not hold full-time appointment in that unit.

- c. Continuous Full-Time Appointment:
  - i. Tenure applies only to continuous full-time appointment in the academic units that have the authority to initiate tenure recommendations except as noted in F.3.b and F.3.d.
  - ii. Credit toward the fulfillment of any probationary period applicable to the attainment of tenure may not be earned except through continuous full-time appointment for the basic appointment period each year, or fraction counting as a year (see Article F.4.e).
- d. Joint Appointment: A faculty member who holds a 50/50 joint appointment in two departments may achieve tenure in the joint position. If one of the departments refuses to recommend tenure upon expiration of the probationary period and renders due notice, tenure shall not be awarded unless the faculty member is given full-time employment in the department that desires to recommend tenure. In a joint appointment other than 50/50, tenure may be achieved only in the unit where an appointment larger than 50 percent is held. That unit must then be prepared to absorb the remainder of the faculty member's appointment if the faculty member relinquishes, or is asked to relinquish, the appointment that is less than 50 percent.
- e. Transfers from One Position to Another: If a tenured faculty member transfers entirely from one department to another, the faculty member's tenure shall be transferred to the second department, and that faculty member's tenure will be removed from the first department. In such instances, the transfer of the faculty member with tenure cannot be enacted without the agreement of the second department according to procedures outlined in that department's operating paper. In the transfer of tenured faculty into joint appointments, the locus of tenure need not change. However, where the transfer produces a 50/50 joint appointment, tenure may either remain with the first department or the second department may recommend tenure for that faculty member, thereby producing a jointly tenured appointment as explained in III.D. If the transfer is from a 50/50 joint appointment to a joint appointment other than 50/50, tenure will be relinquished in the minor appointment and transferred entirely to the major appointment. In all transfers from one unit to another, the faculty member and the units affected by the transfers must be in agreement.

- f. Restructuring of Departments: If a department is merged with another department or reorganized into a new department, the tenure faculty in that department shall not lose their tenured appointments because of such reorganization. The locus of tenure for these faculty shall be in the new or merged department.

#### 4. Tenure Schedule

- a. Professor: At the end of a two-year probationary period a professor must be notified in writing either that tenure has been awarded or that the appointment will not be renewed at the end of the third year. A professor who has served previously as associate professor at the University shall have tenure from the date of appointment to the rank of professor. The department may recommend tenure at the time of the initial appointment of a professor.
- b. Associate Professor: At the end of a four-year probationary period an associate professor must be notified in writing either that tenure has been awarded or that the appointment will not be renewed at the end of the fifth year. An associate professor who has served previously as assistant professor at the University shall have tenure from the date of appointment to the rank of associate professor.
- c. Assistant Professor: At the end of a six-year probationary period an assistant professor must be notified in writing either that tenure has been awarded or that the appointment will not be renewed at the end of the seventh year. If an assistant professor has served previously as an instructor at the University under a contingency appointment [see applicable policy(ies) on Appointment of Faculty Contingent on Completion of Academic Requirements], that year will not be considered as part of the probationary period.
- d. Early Tenure Decision: The initiation of any tenure recommendation before the full probationary term ends must be made by the faculty member in writing. The decision emanating from such a request shall be considered as final. If the decision is negative, the faculty member will be notified in writing that the following contract year will be terminal. A negative decision for promotion to the associate professor or professor rank before the end of the probationary period shall not be considered as a negative tenure decision.
- e. Computing Years of Credit Toward Tenure: In order to facilitate the administration of tenure review procedures, there shall be a

common tenure anniversary date of May 15 for all tenure-eligible academic appointments. This tenure anniversary date will not necessarily coincide with the faculty member's date of initial appointment. A year of credit toward tenure is earned in any academic year in which a tenure-eligible faculty member has a full-time active employment status (including leaves of absence without pay) for no less than six months between July 1 and June 30. The time spent on sick leaves and disability leaves of absence will not be considered as part of the probationary period.

5. The Tenure Decision Process
  - a. **Criteria and Standards:** The candidate for tenure must demonstrate qualifications essential to the mission of the department to which the candidate is assigned. It is expected that these qualifications will encompass teaching, research, and service.
  - b. **Guidelines:** Individual departments shall develop standards based on these qualifications which are appropriate for their disciplines in the department operating paper. The department shall certify such qualifications and the suitability of permanent assignment of the candidate to the unit by majority vote of the tenured faculty. Tenure shall be considered separately from promotion, although the unit may consider the qualifications for promotion as concomitant with those for tenure. It shall be the responsibility of the Vice Chancellor for Academic Affairs and Provost (for Academic Affairs) to approve these standards and guidelines and to monitor their application.
  - c. **Information Regarding Criteria, Standards, and Guidelines:** It is the responsibility of the school or College Dean to insure that all newly appointed faculty are explicitly apprised of the criteria, standards, and guidelines of the University, College, and academic unit in which they have been appointed.
  - d. **Annual Performance Evaluation:** All non-tenured faculty in tenurable ranks must be evaluated in person annually and informed in writing regarding their professional performance. This evaluation shall be the responsibility of the department chair and Dean, and it shall be made with regard to the criteria, standards, and guidelines cited in F.5.a and F.5.b. In addition, this evaluation shall include a statement of the programmatic needs of the College and academic unit relative to the faculty member under review.

- e. Procedures for Review of Qualifications for Tenure:
- i. General Procedures: Primary responsibility for evaluation of the academic qualifications of candidates for tenure rests with the tenured faculty in the department. Where the organization permits, there are three sequential levels in the tenure review process: peer review in the basic academic unit; review at the College level; and review by the Vice Chancellor for Academic Affairs and Provost. Review procedures should be developed in writing for each level of review, and these procedures should be made known to prospective and current faculty members, as well as to the general collegiate community. These procedures should reflect the organizational arrangements of each department and the College of Engineering.
  - ii. Department: In conducting reviews at the department level, all tenured faculty excluding chair, Dean, and Vice Chancellor for Academic Affairs and Provost shall have an opportunity to vote on a tenure decision, and only tenured faculty should vote on the decision. A negative tenure vote by a majority of the tenured faculty of a department cannot be overruled except in cases of failure to observe the department operating paper or of demonstrated discrimination. The chair is responsible for reporting the votes of the tenured faculty, along with appropriate documentation in the tenure dossier. The chair shall provide an independent recommendation to be included in the tenure dossier. No additional recommendation from any special review committee is permitted in the applicable tenure dossier. The candidate shall be given three (3) working days to provide a response to comments, recommendations, and decisions. The response shall be included in the dossier.
  - iii. College Review: The College of Engineering has a tenure review committee consisting of tenured faculty. This committee reviews department recommendations for tenure in terms of College and department standards. The committee will forward its recommendations to the Dean, who will be responsible for all tenure recommendations emanating from the College of Engineering. These recommendations, with accompanying documentation, will be forwarded to the appropriate academic officer (Vice Chancellor for Academic Affairs and Provost).

- iv. University Review: The appropriate central academic officer (Vice Chancellor for Academic Affairs and Provost) shall review all tenure recommendations from the deans in terms of department, College, and University-wide standards. The final recommendation on tenure will then be forwarded from the Chancellor's office to the Board of Trustees, for ratification by the Board.
- f. Deliberate Implementation: Tenure may be awarded only after deliberate implementation of the described procedures in conformance with the criteria contained in this document.
- g. Discrimination: All tenure judgments and recommendations rest upon objective requirements in relationship to the ability of the faculty to perform their work effectively, with such judgments and recommendations being made without regard to race, religion, sex, age, national origin, marital status, physical impairment, sexual orientation, or relationship to other University employees.

## **I. Roles, Responsibilities, and Authority of Committees**

### **1. Powers and Responsibilities of the Voting Faculty of the College**

The Voting Faculty of the College is empowered to initiate, formulate, approve, and change any and all general educational and academic policies and procedures within the scope of the purposes of the College, including academic discipline, admission, retention, academic advisement, and graduation requirements of students of the College, except as authority is otherwise assigned by the Bylaws and Statutes of the Board of Trustees, or as its autonomy is limited by correct academic and administrative relations with other units of the University.

The Voting Faculty of the College shall have power to amend its operating paper according to rules specified in section K of this operating paper.

Any action, other than amending the College Operating Paper, duly taken by the Voting Faculty of the College in matters in which it has responsibility shall become binding on all parties concerned unless rejected by the Dean of the College within two weeks after it has been presented to him/her by the Secretary of the Faculty of the College.

Regular meetings shall be held in the fall and spring semesters. The time and location of each meeting shall be determined by the Dean as

Chairperson of the Faculty. Each meeting should be held early in the term.

Special meetings shall be called at any time by the Dean.

Special meetings shall be called by the Secretary of the Faculty upon petition by twenty percent of the membership of the Voting Faculty of the College. The Secretary of the Faculty of the College shall preside at such meetings and vote only in the case of a tie.

The agenda for each regular meeting shall be determined jointly by the Dean and the Secretary of the Faculty of the College. The agenda of any regular meeting must be circulated to all members of the Faculty of the College at least one week in advance of the meeting. Items may be placed upon the agenda at the initiative of the Dean, the Secretary of the Faculty, or upon petition by ten percent of the membership of the Voting Faculty of the College.

The Dean shall preside over meetings except those special meetings called by a petition of the Voting Faculty of the College, in which case the Secretary is the presiding officer. Robert's Rules of Order shall be used and assistance to the presiding officer shall be rendered by the Parliamentarian.

## 2. Standing Committees

The Faculty shall maintain five (5) standing committees:

- The Curriculum Committee;
- The Student Affairs Committee; and
- The Faculty Affairs Committee.
- The Tenure and Promotion Review Committee.
- The Ph.D. Committee.

The Faculty of the College can add to or delete from the above list in accordance with Part K of this document.

### a. The Curriculum Committee:

This Committee shall review all proposals concerning the curricula of the College and make recommendations to the Dean. The Committee shall act as the representative of the Faculty in presenting proposed curricular changes to the Dean.

Proposals for a curricular change in a degree program shall be initiated by that faculty and submitted by the appropriate department to the Curriculum Committee.

Review of proposals shall be evaluated by the following criteria:

- i. Overlap with other academic units in the College or University. Overlap in course content is permissible if pedagogical emphasis is sufficiently unique.
- ii. Ability of the sponsoring unit to schedule and staff the course.
- iii. Conformity with goals and philosophy of the College and degree programs in the College.

Proposals shall be circulated to the Faculty of the College for information and comments. Constructive comments based on criteria in ii above shall be considered in determining the merit of the proposal.

Approved minutes of Committee meetings shall be circulated to the faculty and Dean and filed with the Secretary of the Faculty.

b. The Student Affairs Committee

i. Function

This committee shall make recommendations to the Dean, when requested to do so by the Dean or his designated representative, in the areas of:

- (a) Scholarships and awards;
- (b) Student discipline;
- (c) Student readmission; and
- (d) Student welfare.

c. The Faculty Affairs Committee

i. Function

This Committee shall make recommendations concerning policies and procedures pertaining to the faculty of the College in the general areas of:

- (a) Appointment, retention, and tenure;
- (b) Rewards;
- (c) Leaves of absence;
- (d) Academic freedom;
- (e) Faculty conduct, discipline, and professional ethics;  
and
- (f) Professional growth.

d. The College Promotion and Tenure Review Committee

i. Function

The function of this Committee is to review all tenure and promotion votes taken by the departments of the College to insure that the votes are consistent with the standards set by each department's and the College's operating papers. The Committee in communicating its findings to the Dean shall indicate either that there was not sufficient cause to question the department's decision or shall clearly detail why the department's decision is not consistent with the department operating paper.

Not all members of the College Promotion and Tenure Committee may vote on all issues. The representative from each department cannot vote on the promotion or tenure of any individual from his/her own department. Individuals can only vote on promotions to their own rank or lower. For this reason it is suggested that the Committee consists of tenured full professors whenever possible.

e. The Ph.D. Program Committee

i. Function

This Committee reviews and recommends to the Dean, individuals for admission to the Engineering Science Ph.D. Program. Additionally, the Committee is responsible for establishing, maintaining, and revising academic requirements for that Program.

3. Ad Hoc Committees

Ad hoc committees shall:

- i. Be established by the Dean or by the Secretary of the Faculty; and
- ii. Be concerned only with the charge(s) they are assigned and shall exist not more than one calendar year from the date of establishment.

4. Powers and Responsibilities of the Voting Faculty of Academic Departments

The Voting Faculty of each academic department shall have original jurisdiction over, and determine, the degree requirements for all degree programs of that department, and shall have original jurisdiction over, and determine what new courses it may wish to offer and which existing courses it may wish to alter or cancel, except as authority is otherwise assigned by the Statutes of the Board of Trustees or as its autonomy is limited by this operating paper.

Each academic department must establish an operating paper concerning its mission, voting faculty, merit and review criteria, tenure and promotion guidelines, roles and authority of committees, policies on proxies and secret ballots, composition of committees, roles and responsibilities of the chair and his evaluation, procedure for amending its operating paper, and academic qualifications of new faculty.

An approved operating paper is one which has been approved by a simple majority of the defined Voting Faculty of the department, by the Dean, and by the Chancellor or designee.

This document shall provide the guidelines for any department without an approved operating paper.

5. Secretary of the Faculty

The Secretary shall conduct all secret votes prescribed herein or requested by the Voting Faculty. The Secretary shall safe keep complete records of faculty meetings, standing committee transactions, and ad hoc committee results and recommendations.

**J. Policies on the Use of Proxies and Secret Ballots**

1. Polling of the Voting Faculty of the College

Votes shall be taken in meetings according to Roberts' Rules of Order. No vote shall be taken on any topic not specifically listed on the agenda for the meeting during which the vote is held, except by consent of a two-thirds majority of the Voting Faculty of the College.

In the absence of a quorum, the presiding officer shall adjourn the meeting for a period of at least five (5) school days. [A majority (over 50%) of the Voting Faculty of the College, excluding those on sabbatical leave, shall constitute a quorum at all meetings except meetings reconvened due to lack of a quorum.] All College faculty shall be notified of the time for a reconvened meeting. Members present at the reconvened meeting shall constitute a quorum for the purpose of transacting business but only the specifically listed items on the original meeting agenda shall be considered. Minutes of the previous faculty meeting may be approved by a minimum of two-thirds favorable vote of those in attendance.

Those faculty members unable to attend a meeting for a valid reason may designate a proxy for that meeting. The designated proxy must be a member of the Voting Faculty of the College. The designation of a proxy must be submitted in writing to the Secretary of the Faculty 48 hours prior to the scheduled meeting. The reason that the faculty member is unable to attend must also be included in the written proxy designation. A faculty member attending the meeting may hold the proxy of at most one other faculty member. Those faculty members who have designated a proxy shall be counted as present if the person holding their proxy is present at the meeting.

A ballot vote on College matters shall be used to vote on an item when requested by the Dean, or by 20% of the Voting Faculty, or as required by

the College Operating Paper. Its use shall be limited to the regular fall and spring semesters. An informational meeting shall be held to examine the item on the ballot if it was not discussed in a regular or special faculty meeting. This meeting shall be called by the Secretary within three (3) to five (5) working days after the ballot has been distributed. The Secretary of the Faculty shall distribute one ballot to each Voting Faculty member. A return envelope shall be provided. The ballot must be returned to the Secretary in the envelope furnished with the ballot within five (5) working days after the meeting. A majority of those voting will constitute faculty approval. It is understood that changes to the College Operating Paper will be in accordance with Part K of this document.

## **K. Process for Determining the Composition of Committees**

### **1. Standing Committees of the College**

Each member of the Voting Faculty, except the Secretary of the Faculty and departmental chairpersons, shall be eligible for election to standing committees. A faculty member may normally serve on one standing committee at a time. Departments shall specify how their representative will be selected in their operating paper except the Promotion and Tenure Committee where the Dean shall select a representative from each department. If a department does not have sufficient Voting Faculty to fill positions on all standing committees:

either - a Voting Faculty of the College elected by that department

or - a Voting Faculty of the department who is already serving on a standing committee may serve, provided all other Voting Faculty in that department are on a standing committee.

The Dean, or his/her designated representative, shall be a non-voting, ex-officio member of all standing committees.

Members of all standing committees shall serve a single term of two years except that each committee shall determine by lot which one-half (as nearly as possible) of its initial members shall serve two-year terms with the remainder serving one-year terms.

New assignments to standing committees shall be made in November of each year with new members to take office January 15.

Vacancies that occur during the year shall be filled in the same manner as that prescribed for new assignments except that members filling unexpired terms of less than one year shall be eligible to succeed themselves.

a. Curriculum Committee

The Committee shall be composed of one member from each department of the College chosen according to procedures set forth in their respective department operating paper.

b. Student Affairs Committee

The Committee shall be composed of one member from each department of the College chosen according to procedures set forth in their respective department operating paper.

c. Faculty Affairs Committee

The Committee shall be composed of one member from each department of the College chosen according to procedures set forth in their respective department operating paper.

d. College Promotion and Tenure Committee

The Committee shall consist of one member appointed by the Dean from each academic department.

e. Ph.D. Program Committee

The Committee shall be composed of one member from each engineering department of the College chosen according to procedures set forth in their respective department operating paper.

2. Committees for Selection of Deans

The Voting Faculty of the College, operating through an ad hoc committee established for that purpose, shall take an active and meaningful part in all the steps, i.e., the recruiting, screening, interviewing, and evaluation of qualified persons leading to the Chancellor's formal recommendation of a person to fill the vacancy in this office. The committee shall be appointed by the Vice Chancellor for Academic Affairs and Provost and consist of an equal number of faculty representatives from each academic department, two student representatives (one undergraduate and one graduate), and one civil service representative. Additional members may be appointed if deemed

desirable by the Vice Chancellor for Academic Affairs and Provost and a majority of the Faculty of the College. Faculty representatives of the College of Engineering should constitute a majority of the committee. At least two members of the committee shall be members of the faculty association. The search shall otherwise conform to establish University policies for the recruitment and hiring of Deans. These policies are found in the "Personnel Policies and Procedures for Faculty and Administrative/Professional Staff, Academic Affairs," hereafter called Academic Affairs Personnel Policies.

3. Office of Secretary of the Faculty

The Voting Faculty of the College shall each year at its regular fall meeting elect a Secretary who shall prepare minutes of all meetings of the Faculty of the College, call and preside over special meetings as noted in Section G of this operating paper, and perform such other duties as are indicated or which may be assigned to her/him by the Voting Faculty. Each member of the Voting Faculty is eligible for election as Secretary. In the event the Secretary cannot fulfill the responsibilities of the office for a period of three (3) months or less, a substitute shall be appointed by the Secretary. For any longer period of time, the vacancy shall be filled through election by the Faculty.

**L. Academic Qualifications of New Faculty to be Recruited**

This document addresses general guidelines pertaining to the academic qualifications for hiring tenure-track faculty positions in the College of Engineering. Additional and more specific requirements may be found in the respective department operating papers. The general qualifications are:

1. An earned doctorate degree is required for an applicant in any engineering department, whereas it is highly desirable for an applicant in the technology department.
2. The applicant must be capable of developing a strong research program in his/her respective areas of expertise.
3. The applicant must be capable of effective teaching in both undergraduate and graduate level courses.
4. Prior industrial/professional/consulting/academic experience is desirable.
5. Professional engineering registration is desirable.

**M. Procedure for Reviewing and Amending the Operating Paper**

1. A proposed amendment to this Operating Paper may be initiated by the Dean or by twenty (20) percent of the faculty of the College by sending a written petition to the Secretary of the College Faculty.
2. A proposed amendment must be communicated to the Dean and to the Secretary of the Faculty at least one (1) month prior to the time at which the change is to be voted upon. The Dean or the Secretary of the Faculty shall immediately notify the faculty of the proposed change and schedule a meeting to discuss the proposed change.
3. The Secretary of the Faculty shall distribute one ballot with return envelope to each Voting Faculty member. The ballot must be returned to the Secretary in the envelope provided within ten (10) working days after distribution.
4. A change to this operating paper requires a two-thirds majority by the Voting Faculty of the College.

This operating paper shall become effective upon approval by a simple majority of the currently defined faculty of the College of Engineering and by the Chancellor or designee.

Upon adoption of this operating paper, the Dean shall call a general faculty meeting to elect a Secretary of the Faculty.