

**POLICY MANUAL**

***University Council for Educational Administration, 2017***

**UCEA Policy Manual**

***Table of Contents***

I. Code of Regulations .....3-6

II. Governance .....7-9

III. Personnel ..... 10-14

IV. Publications ..... 15-17

V. Membership ..... 18-36

VI. Research ..... 37

VII. Hosting the UCEA Headquarters.....38

VIII. UCEA Program Centers.....39-43

IX. Special Roles ..... 44

X. Awards .....45-48

XI. Co--Sponsored Activities .....49-50

XII. Financial ..... 51-53

XIII. Document Retention .....54-56

XIV. Public Policy Positions ..... 57

XV. Organizational Code of Ethics .....58-59

## I. Code of Regulations of The University Council for Educational Administration, Inc.

### Article I: Members

**Section 1.** The members of this corporation shall consist of the institutions constituting the membership of the former unincorporated association known as "The University Council for Educational Administration," the predecessor organization to this corporation and such other institutions elected as members as hereinafter provided.

**Section 2.** Any institution interested in the improvement of educational leadership and administration, willing to support the purposes of this corporation, and having met the criteria established by this corporation as to superiority of program, staff, facilities, and funds may be elected to membership in this corporation by a majority of the Plenary Session Representatives of the members of this corporation, acting upon the recommendation of the Executive Committee.

**Section 3.** Any member of this corporation may resign by filing a written instrument of resignation with the President, Secretary or Executive Director. The membership in this corporation of any member may be suspended or terminated for nonpayment of service fees or upon the recommendation of the Executive Committee, by the affirmative vote of a majority of the members of this corporation.

**Section 4.** Each member of the corporation shall provide evidence every seven (7) years that it continues to meet the criteria as to superiority of program, staff, facilities, and funds established by this corporation as a condition of membership. If the Executive Committee determines that a member does not meet one or more of the criteria, the member shall be notified by the Executive Director of the areas in which it is deficient and its membership may be terminated if it does not meet all criteria for membership within three (3) years of the date such notification is given. Termination shall be determined by a majority vote of the Plenary Session Representatives of the members of this corporation, acting upon the recommendation of the Executive Committee.

### Article II: Meetings of the Members of this Corporation in Plenary Session

**Section 1.** The Plenary Session, consisting of the officially designated representative of each member institution or its alternate, shall serve as the legislative body of this corporation. The powers of the Plenary Session shall include, but not be limited to, the following:

- a. To establish goals and priorities for the corporation and its activities.
- b. To approve policies, programs, and procedures for the corporation initiated by the Plenary Session or recommended by the Executive Committee or by the central staff.
- c. To review policies, programs, and procedures of the corporation.
- d. To review budget proposals and to adopt the budget of the corporation for each fiscal year.
- e. To establish the annual service fee for membership in the corporation.
- f. To elect members of the Executive Committee of the corporation and the President and President-Elect of the corporation.

**Section 2.** A regular Plenary Session of this corporation shall be held annually. The regular Plenary Session shall include review the budget and activities of the corporation for the current year, adopt a budget for the following fiscal year, elect members of the Executive Committee and the President-Elect, and conduct such other business as may come before it. The dates and the location of the regular Plenary Session shall be determined by the Executive Director in consultation with the Executive Committee.

**Section 3.** A special Plenary Session of this corporation may be called at any time by the President with the approval of a majority of the Executive Committee, or by petition to the President by one-fourth of the Plenary Session Representatives, and shall be held at such time and place as the Executive Committee shall determine.

**Section 4.** Except as otherwise required by law, notice of all Plenary Sessions of this corporation shall be provided by email to each Plenary Session Representative not less than thirty (30) days before the meeting.

**Section 5.** At any Plenary Session, a majority of the Representatives of the members of this corporation shall constitute a quorum.

**Section 6.** At Plenary Sessions of this corporation, each full member shall be entitled to be represented by a Plenary Session Representative, who shall be a member of its faculty in educational leadership and administration or one of its administrative officers. The Plenary Session Representative of each member institution shall be chosen by appointment or election for a term of office and by a procedure, which the member institution deems suitable. Member institutions are encouraged to set a term of office of at least three years for their Plenary Session Representative in order to achieve greater continuity in policy making for the corporation and greater visibility for the member institution. The dean, chair or equivalent officer of the school, college, or department of education of each member institution shall certify to the Executive Director of the corporation annually the institution's designated Plenary Session Representative. If necessary, a substitute may be designated by the Plenary Session Representative, which substitute shall be entitled to participate fully in the Plenary Session. Plenary Session Representatives shall vote and act for and on behalf of their respective member institutions. Member universities shall be responsible for all expense involved in sending representatives to the annual Plenary Session.

**Section 7.** At the regular Plenary Sessions of this corporation, the Executive Committee shall present a report, verified by the President and Treasurer, or by a majority of the members of the Executive Committee, showing the assets of the corporation; where such assets are located and where and how they are invested; the amount and nature of the assets acquired during the fiscal year preceding the report and the manner of acquisition; the amount applied, appropriated, or expended during the preceding fiscal year, and the names and addresses of the institutions which have been admitted to and/or withdrew from membership in the corporation during such year. The report shall be filed with the records of the corporation and an abstract thereof shall be entered in the minutes of the proceedings of the Plenary Session.

**Section 8.** Roberts' Rules of Order shall govern the conduct of all meetings of the Executive Committee and Plenary Session.

### **Article III: Executive Committee**

**Section 1.** The members of the Executive Committee shall function as the trustees of this corporation, fulfilling such responsibilities as are enumerated in the articles of incorporation and the statutes of the state in which incorporation is accomplished. The Executive Committee shall also function as the executive body for the Plenary Session and the corporation and shall, in cooperation with the central staff, set the agenda for regular and special Plenary Sessions of the corporation. In the interim between Plenary Sessions, the Executive Committee shall have the power to take appropriate action within the context of the priorities, policies, programs, and procedures approved by the Plenary Session.

**Section 2.** The Executive Committee shall consist of nine members, three of whom shall be elected each year. Each member of the Executive Committee shall serve until a successor is elected.

**Section 3.** Only a person designated by a member of this corporation to serve as its Plenary Session Representative for at least three years within the last six years in accordance with the provisions of Article II, Section 6 of these Regulations shall be eligible for election to the Executive Committee. Additionally, only a person who has achieved either associate or full professor status or is currently under consideration for tenure and promotion to Associate Professor this year, shall be eligible for election to the Executive Committee. Once elected, a member of the Executive Committee shall not be required to resign prior to the end of a term in office for failure to be designated a Plenary Session Representative in subsequent years. A Plenary Session representative whose institution is already represented on the Executive Committee shall not be eligible for election to the Executive Committee.

**Section 4.** The President in consultation with the Executive Committee shall appoint annually a committee to nominate candidates for election to the Executive Committee at the next regular Plenary Session. The nominating committee shall consist of three (3) members, each of whom when appointed shall be a Plenary Session Representative not serving currently on the Executive Committee. The nominating committee shall nominate at least two candidates for each vacancy on the Executive Committee. In selecting nominees, the nominating committee shall endeavor to make the Executive Committee as broadly representative as possible of the membership of the corporation. The nominating committee shall publicize its slate of candidates for membership on the Executive Committee at least thirty (30) days in advance of the regular Plenary Session. Additional candidates may be nominated by petition signed by any three (3) Plenary Session Representatives. The election of members to the Executive Committee shall take place electronically during a designated time frame in conjunction with the Annual Plenary Session from among the candidates nominated as prescribed above. Each Plenary Session Representative from full member institutions shall be eligible to cast a vote for a candidate for any vacancy on the Executive Committee.

**Section 5.** At the regular Plenary Session of this corporation, or at a special Plenary Session called for that purpose, three (3) Representatives shall be elected to the Executive committee to fill the three (3) vacancies created by expiring terms. The Hare System shall be used in counting ballots to determine the candidates who have received the highest number of votes. Newly elected members of the Executive Committee shall take office immediately upon election.

**Section 6.** Any vacancy in the Executive Committee may be filled by the President, following consultation with the Executive Committee, until the first Plenary Session of the corporation held after such vacancy shall occur, at which time the unexpired term shall be filled by vote of the Plenary Session Representatives present following so far as practicable the nominating and election procedures prescribed in Section 4 and Section 5 of this Article.

**Section 7.** A member of the Executive Committee may resign by filing a written instrument of resignation with the President, Secretary or Executive Director. A member of the Executive Committee shall be deemed to have resigned his/her office at such time as they are no longer employed by a member of the corporation.

**Section 8.** A person shall not be eligible to serve as a member of the Executive Committee for more than two consecutive terms. An appointment by the President to serve until elections are held under Section 6 of this Article shall not constitute a term. Election to serve an unexpired term of two (2) years or less shall not constitute a term.

**Section 9.** The Executive Committee may invite individuals and representatives of other organizations to attend its meetings as non-voting, ex officio members.

#### **Article IV: Officers**

**Section 1.** The officers of this corporation shall consist of a President and President-Elect, both of whom shall be members of the Executive Committee, a Secretary, a Treasurer, and such other officers as may be appointed by the Executive Committee.

**Section 2.** A President-Elect shall be elected each year by the Plenary Session Representatives present at the regular Plenary Session, from among the members of the Executive Committee, following the election of new members of the Executive committee. Members of the Executive Committee are not eligible to run during the first year they join the Executive Committee. The Hare System shall be used in counting the ballots to determine the candidate who has been elected. At the close of the next regular Plenary Session, the President-Elect will become President. Should the Office of the President become vacant, the President-Elect will immediately become President, fulfill the remainder of the unexpired term, and continue as President during the term to which he or she was elected. Should the office of President-Elect become vacant, a new President-Elect shall be elected from among the members of the Executive Committee who are willing to be candidates for the office by a majority of the Plenary Session Representatives of this corporation, responding by mail ballot. If a member of the Executive Committee is elected to the position of President-Elect in the second or third year of the member's first term, that member is automatically elected to a second term on the Executive Committee. Members of the Executive Committee in the third year of their second term are ineligible for election to the office of President-Elect. An individual elected President-Elect in the second year of his or her second term shall continue to be a member of the Executive Committee in her or his presidential year, temporarily bringing the Executive Committee's membership to 10.

**Section 3.** The Secretary and the Treasurer of the corporation shall be elected by the Executive Committee at a meeting held adjacent to the regular Plenary Session. These officers shall serve for a term of one year or until their successors are elected. The Executive Committee shall have power to fill any vacancies in these offices and may at pleasure remove the Secretary or the Treasurer of the corporation.

**Section 4.** The President shall preside at all Plenary Sessions of the members of this corporation and at all meetings of the Executive Committee, except as otherwise provided by these Regulations, or by resolution duly adopted at any regular or special Plenary Session. The President shall be a member ex officio of all committees and shall be entitled to have notice of committee meetings and to attend and vote at such meetings, but the President shall be under no obligation to attend such meetings and shall not be counted to determine whether or not a quorum is present. At each annual meeting the President shall give a presidential address on the state of the corporation or on problems of educational administration as they relate to the corporation. The President shall perform such other duties as may be assigned by the Executive Committee.

**Section 5.** The President-Elect shall discharge such functions as may be assigned to that office by the President, or by the Executive Committee. The President-Elect shall discharge the duties of the President in the event of the latter's absence or disability.

**Section 6.** The Secretary shall take and keep true minutes of all meetings, shall provide an edited copy of the minutes to the Executive Director within 30 days of each meeting, shall notify members of the Executive Committee of their election, shall in general perform all duties incident to the office of Secretary, and shall perform such other duties as may be assigned to that office by the President or by the Executive Committee. Should the Secretary be a non-elected member of the Executive Committee, the Secretary shall have no vote.

**Section 7.** The Treasurer, subject to the provisions of these Regulations, and to such other regulations as may be prescribed by the Executive Committee, shall provide assistance and advice to the Executive Director regarding the custody of funds and securities of this corporation. The Treasurer shall serve as co-chair of the Investments Advisory Committee. The Treasurer shall deliver the annual fiscal report to members of the Executive Committee and Plenum. Should the Treasurer be a non-elected member of the Executive Committee, the Treasurer shall have no vote.

**Section 8.** The Executive Committee shall appoint an Executive Director who shall be the chief administrative officer of this corporation, subject to the Executive Committee and the President. It shall be the duty of the Executive Director to lead and manage the activities, staff, finances, and operations of the corporation. The Executive Director shall prepare and present business to be acted upon at Plenary Sessions of the corporation and at meetings of the Executive Committee; the Executive Director shall recommend all professional staff appointments to the Executive Committee, and shall perform such other duties as may be assigned by the Executive Committee. The Executive Director shall be a member ex officio of all committees but shall have no vote.

#### **Article V: Committees**

The Plenary Session and the Executive Committee may by resolution provide for the creation of committees and may delegate to committees such duties as they deem appropriate.

#### **Article VI: General Fiscal Provisions**

**Section 1.** Any two of the following persons, viz: the President, the President-Elect, the Secretary, the Treasurer, the Executive Director or any two persons designated by the Executive Committee, shall have authority to execute the transfer of stocks, bonds, or any other securities standing in the name of or belonging to the corporation. A corporation or person transferring any such stocks, bonds, or other securities shall be under no duty to inquire whether or not the Executive Committee has taken action in respect thereof.

**Section 2.** The fiscal year of this corporation shall begin on the first day of July in each year and end on the following 30<sup>th</sup> day of June.

**Section 3.** The annual service fee for members of the corporation shall be specified in the budget adopted by majority vote of the representatives present at the regular Plenary Session and shall be payable not later than the first day of September of the fiscal year for which they are assessed.

**Section 4.** The income of this corporation derived from service fees and any other sources shall be expended in accordance with an operating budget prepared by the Executive Director on behalf of the Executive Committee each year and approved by majority vote of the Representatives present at the regular Plenary Session of the corporation. Revisions of the operating budget may be made only upon the approval of two-thirds of the members of the Executive Committee, and such revision shall be reported to the members of the corporation at the next regular Plenary Session.

**Section 5.** Grants from foundations or other agencies shall be expended in accordance with the terms of such grants.

**Section 6.** All financial accounts and records of this corporation shall be audited annually prior to the regular Plenary Session by independent certified public accountants employed by the Executive Committee. In the event the annual audit is not submitted by the auditors in time for the annual plenary session, Article VII will apply. Upon completion, the audit will be made available to members of the plenum. Voting to accept the audit will occur 30 days hence.

**Section 7.** The corporation shall reimburse members of the Executive Committee for reasonable expenses connected with their attendance at meetings, this might include airfare or mileage, hotel and a modest per diem amount for meals.

#### **Article VII: Amendment of Code Regulations**

##### **Undated by the UCEA Plenum – 12/12**

With approval of a majority of the Executive Committee, or by petition by one-fourth of the Plenary Session Representatives, this Code of Regulations may be amended or repealed by an affirmative vote of two-thirds of Plenary Session Representatives, provided that copies of the proposed amendments(s) be presented to Plenary Session Representatives at least thirty (30) days prior to the date of the vote.

## II. Governance

### II.A. President

See Article IV: Officers.

### II.B. President Elect

By tradition, the President Elect is the chair of the Convention and appoints, in consultation with Executive Director and the Executive Committee, the convention program chair or co-chairs. See also Article IV: Officers.

### II.C. Treasurer

The Immediate Past President shall be elected Treasurer of UCEA Inc. and also act in the capacity as chair of the Investment Advisory Committee. See also Article IV: Officers, Section 3.

### II.D. Secretary

The Secretary of UCEA Inc. shall be appointed by the UCEA Executive Committee for renewable one-year term on an annual basis. See also Article IV: Officers, Section 3.

### II.E. Plenum Representative

There are three general roles for UCEA Plenary Session Representatives (PSR), a legal, mandated role, a linkage role, and a leadership or catalyst role.

**The Legal Role:** The Plenary Session Representative assumes a certain legal decision making role stipulated by UCEA bylaws. The areas about which he/she must help make decisions are:

1. electing leaders to serve on the Executive Committee
2. making needed changes in the bylaws related to the governance and financing of UCEA
3. making decisions about the annual budgets of UCEA, and
4. determining those universities which can contribute to UCEA's mission and which should become members of the organization.

In the prosecution of these roles, however, local practice may vary from that of instructing the PSR to vote one way or another, to leaving the matter entirely to his/her discretion. In either case, the representative must become informed about the facts and assumptions that are relevant to the decisions. Some arena must be provided within which arguments can be heard and discussion take place, so that the PSR will be in a position intelligently to take recommendations to the faculty of his/her department and ultimately to the plenary session itself.

**The Linkage Role:** In addition to fulfilling the legal role, the PSR has an important linking pin function between UCEA staff, and relevant others. While he/she can be an accurate source of information about UCEA and his/her institution, he/she should fulfill this linkage role with respect to at least two, and probably four other units; 1) department faculty, 2) graduate students, 3) college and university administration, and 4) other educational agencies in his area that have interests coincidental to those of UCEA, e.g., state departments of public instruction, R & D Centers, Regional Laboratories, and local administrators' organizations. Behaviors illustrative of the link pin functions include:

1. reporting information gained from PSR meetings which have professional significance for staff members and graduate students;
2. seeing that graduate students are informed about UCEA, including the graduate student seminars it offers, and other opportunities offered by the organization;
3. working with deans and department heads to obtain resources needed to capitalize on learning opportunities offered;
4. informing the UCEA central staff or professors who have sabbaticals and/or special interests and abilities and who might be interested in serving in UCEA staff affiliate, associate, or fellow roles;

5. encouraging departments to develop career seminars designed to produce content of significance to the field of educational administration;
6. encouraging and assisting professors to participate in the UCEA annual convention;
7. keeping professors informed of the emergence of new UCEA research and development projects and the status of projects already underway, and encouraging professors to participate in UCEA projects according to their individual interests and abilities; and
8. developing internal university understanding of UCEA's program and role in improving preparation;
9. initiating and directing needed communication to the Executive Committee and central staff members on issues of significance to the field of educational administration;
10. initiating program ideas and advising the Executive Committee and staff on interinstitutional programs and plans for improving educational administration;
11. obtaining considered reactions of department members and university administrators to questions and issues of significance to educational administration and UCEA;
12. participating in commissions or other bodies to project ideas designed to improve educational administration, or the program and organization of UCEA; and
13. seeking ties between non university based educational programs and UCEA efforts.

Some strategies for this role are self-evident; arrangements can be made to speak at meeting of associations of graduate students at deans councils, at department meetings and with policy bodies of other educational units. The PSR should not overlook opportunities to create linkages with associations of administrators in the areas served by his/her university. Other strategies may be developed based upon the representatives' less formal relationships with significant individuals or groups.

The critical point is that the PSR should assume, in addition to his/her mandated role, a responsibility for linking the activities of UCEA to groups with which they have relevance.

**The Leadership Role:** A final role, and perhaps a more difficult one, is to relate the leadership that has come to be expected of UCEA to the design of preparation programs and the professional activities of faculties in the university. The capability of the PSR to fulfill this role may be circumscribed by local constraints, but it seems clear that if the potential of the organization is to be realized, the representative should feel a strong obligation to promote in his/her university's close programmatic involvement with UCEA. Examples of behavior related to this role are:

1. encouraging colleagues to participate in the UCEA programs centers and to use the special expertise products of other centers;
2. encouraging and assisting professors to attend career development seminars and other activities where learning opportunities are provided;
3. working with other professors and university administrators in developing a definition of the general objectives of desired program change;
4. encouraging professors to develop and submit manuscripts to Educational Administration Quarterly, the UCEA monograph series, and other UCEA publications for potential publication;
5. encouraging and helping professors to secure sabbatical arrangements and/or to accept special UCEA staffing patterns designed to advance and contribute to educational administration;
6. encouraging department to develop career seminars designed to produce content of significance to the field of educational administration;
7. encouraging and assisting professors to participate in the UCEA annual convention.
8. encouraging interested professors to initiate special interest groups of significance to the field of educational administration;
9. developing internal university understanding of UCEA's program and role in improving preparation;
10. obtaining considered reactions of department members and university administrators to questions and issues of significance to educational administration and UCEA;

11. participating in commissions or other bodies to project ideas designed to improve educational administration, or the program and organization of UCEA;
12. encouraging colleagues, students, and libraries to subscribe to the UCEA sponsored journals.

## **II.F. Executive Committee**

### **Election of Executive Committee Members**

A modified Hare System shall be used in determining the election to the Executive Committee and other positions for which the Plenum is the electorate.

Modified Hare System: October 27, 1982

For each category of persons to be elected, a single ballot shall be cast by each PSR. The nominees for the position(s) shall be rank ordered by each PSR. In case of a tie or lack of necessary majority for election to the first position, the nominee with the fewest votes is eliminated. Presumably the voters whose first choices were thus eliminated would now vote for their second choices. The simulated procedure successively eliminates nominees until one candidate receives a majority of the redistributed votes.

Method of tallying votes in the hare system follows:

1. Voters rank the options in order of their preferences, using rank "1" for the option most preferred.
2. If one option receives a majority of first choices, it is declared the winner. (If this is the case, go to step 5.)
3. If there is no first choice majority, the option with the smallest number of first choice votes is eliminated. The second choices of the voters whose first choices were eliminated are then distributed among the options remaining. If there is now a majority for one option, it is declared the winner.
4. This process is continued, eliminating at each stage the least popular option and redistributing the next choice votes for it, until a majority for one option is obtained.
5. All nominees except the one elected are restored to the ballot for determining election to the second and succeeding positions. The second choices of the voters whose first choice was elected are distributed among the options remaining.
6. Repeat steps 2-5 until all positions are filled.
7. In case of a tie in steps 3 or 4, the names of the persons in the tie shall be placed in a receptacle; the name drawn will be the one eliminated. If it is more than a two way tie, the votes of the persons eliminated will be distributed. If a tie still exists, another drawing will be held to eliminate one of the tie holders.

### **Invitation to the Host Dean to Executive Committee Meetings**

adopted by the Executive Committee 10/29/87

The dean of the university hosting UCEA's executive offices shall be invited to attend Executive Committee meetings as a non-voting ex-officio member, as per Article III, Section 9 (Executive Committee) of the UCEA Code of Regulations.

## **II.G. Other**

### III. Personnel

#### III.A. Executive Director

##### 1. Qualifications of Executive Director

adopted 10/98

- a. Candidate should hold an earned doctorate preferably in educational administration.
- b. Candidate should have appropriate work experience relevant to educational leadership and the tasks inherent to running an organization like UCEA.
- c. Candidate should have demonstrated interest and competency in research and/or guiding research and in writing.
- d. Candidate should have demonstrated interest and competency in the preparation of educational leaders and university program improvement.
- e. Candidate should have personal ability, such as to engender the possibility of him/her developing cooperation among the member institutions.
- f. Candidate should have demonstrated ability in managing a budget.
- g. Candidate should have demonstrated ability to raising funds for research and professional improvement projects.
- h. Candidate should have demonstrated creative insights and talent in the field of educational leadership.
- i. Candidate should be prepared to devote themselves full time to the UCEA, including extensive travel.

##### 2. Major Responsibilities of Executive Director

- a. Work with the Executive Committee to build a vision, goals, and activities for UCEA consistent with its mission.
- b. Lead, support, plan, manage and execute (with elected officers) the governance functions and recurring activities of the Consortium (e.g. the Executive Committee, the Plenum, membership applications and sabbatical reviews, hosting contracts, and the review and reform of policy and procedures affecting these functions.)
- c. Lead, plan, facilitate and manage (with the elected leaders, project and office staff) the Consortium's program efforts (e.g. UCEA's annual convention, the National Graduate Student Research Seminar in Educational Administration & Policy, and other program and publication initiatives).
- d. Manage, plan, and execute the awards and recognition programs of the Consortium (e.g. the Davis Award, Culbertson Award, Campbell Award, and Excellence in Leadership Award).
- e. Lead, manage, plan, execute, edit (where necessary), monitor, and negotiate the publications initiatives and contracts of the Consortium (e.g. *Educational Administration Quarterly*, *The UCEA Review*, monographs, books, homepages, cases journal, etc).
- f. Provide national visibility, liaison, and outreach to other organizations, the public, and potential partners in UCEA's mission (e.g. traveling to regional and national meetings of these organizations, meeting with and communicating regularly with their organizational leaders, etc.).
- g. Lead, oversee, plan, and manage the fiscal and legal operations of UCEA (e.g. budget, investments, corporate status, tax status, audit, insurance, bonding, capital expenditure, dues collection, and external funding).
- h. Organize and manage office resources (human and material) to maximize UCEA's achievement of its mission.
- i. Other responsibilities related to UCEA's mission as assigned by the UCEA Executive Committee.

##### 3. Review Process for Executive Director Performance

The following review process is adopted as a set of procedural guidelines for the review of the executive director's performance:

- a. The term of contract for the UCEA Executive Director shall be for a rolling period of three years, with provision for a formal review at least every three years resulting in formal action of the Executive Committee on whether to extend the current term by an additional three years. During the first ten years of the Executive Director's tenure, reviews will be conducted annually.
- b. In preparation for the review, the Executive Director shall provide the Executive Committee:
  - A report of activities and accomplishments for the term, specifically as they relate to the adopted objectives for the term and organized in terms of the major responsibility categories identified above;
  - A proposed set of objectives for the coming term and a report on how he/she sees the "state of UCEA" in terms of fiscal conditions, policy issues, program initiatives, and issues for action in the future;
  - An official statement of his/her desire for extending or terminating the contract term; and any concerns he/she has regarding the terms of the contract (e.g. issues regarding salary, fringe benefits, and/or working conditions).
- c. The reports of the Executive Director shall be used for performance review purposes by a subcommittee of the Executive Committee, known as the Executive Director's Performance Review Committee. Composition of the committee shall be:
  - The current President (Chair of the Performance Review Committee),
  - The immediate Past President, and
  - The President-Elect.
- d. The Performance Review Committee shall provide the Executive Director and the Executive Committee its report of performance review findings and recommendations. The latter shall include:
  - The recommended salary adjustment for the coming contract term;
  - Any recommended adjustments in fringe benefits and/or working conditions;
  - An evaluative statement summarizing the assessment of the Executive Director's performance including a list of performance commendations and recommendations;
  - The recommendation regarding extension of the contract term in effect at the time of the performance review.
- e. The following activities will be conducted to conclude the Executive Director review process:
  - The Executive Director shall present and discuss with the Executive Committee his/her report of activities and accomplishments. S/he may also choose to address or seek clarification regarding issues raised in the written report of the Performance Review Committee.
  - After hearing the Executive Director's performance report and in a closed session of elected Executive Committee members the Performance Review Committee shall discuss with the Executive Committee its performance review findings and recommendations. The Executive Committee will approve a final performance review summary statement, the contract renewal, and any adjustments in salary, benefits, and/or working conditions.
- f. Following the above review process, a goal-setting activity will be conducted at the next Executive Committee Meeting. The Executive Director will present and discuss his/her proposed set of performance objectives for the

coming term and the “state of UCEA” report. The Executive Director and the Executive Committee will discuss, negotiate, revise, and adopt the mutually agreed upon objectives for the coming term.

- g. At the conclusion of the review process, Executive Committee Meeting, the Executive Director’s Performance Review Committee shall provide to the Executive Director:
  - A copy of the final performance review report including contract extension term and adjustments in salary, benefits, or working conditions, as approved by the full Executive Committee;
  - A copy of performance objectives for the coming term, as mutually adopted by the Executive Director and Executive Committee.
- h. By mutual agreement of the Executive Committee and the Executive Director, this contract can be renegotiated in its entirety, amended, and/or terminated at any time.

#### **4. Executive Director Emeritus**

EC approved 1/98

The Executive Committee may name former executive directors Executive Director Emeritus.

#### **III.B. Consulting**

Central Staff Consulting Policy

adopted by Executive Committee 1/11/79; revised 10/28/96

Central Staff members are allowed fourteen (14) consulting days each year for which UCEA would contribute the staff members’ time. After the tenth day, the staff member would either use vacation days for consulting or donate the consulting fee to the UCEA sunshine fund.

Appropriate guidelines related to implementation of the policy including guidelines to resolve possible conflicts of interest and substantial interference with UCEA activities will be developed by the executive director in consultation with the UCEA President and President Elect.

#### **III.C. Other**

##### **1. Vacation Time**

adopted 5/20/81

Professional staff are granted one month (20 working days) vacation time annually and are encouraged to use fully this leave each year. However, a professional staff member may accrue up to 20 working days of unused vacation leave for which UCEA will pro-rate reimbursement at the yearly salary level in effect when he or she leaves UCEA.

##### **2. Family Leave**

adopted 11/01

Professional staff are granted family/medical leave as follows:

- a. Four weeks full-time paid leave (equivalent of 20 working days) and
- b. Four weeks half-time paid leave (equivalent of 10 working days)
- c. The employee may use up to two weeks of paid vacation time to extend this paid family/medical leave. In addition, UCEA honors the provisions of the Family and Medical Leave Act, which would allow the employee to extend this leave to a total of 12 weeks by taking unpaid leave.

##### **3. Housing Expenditure for Visiting Professor Program**

adopted by the Executive Committee 10/23/86

The Executive Committee authorizes an expenditure of \$5,000 per year to be used by the Executive Director to provide housing/living expenses for the visiting professor program.

### III. D. UCEA Associate Directors

#### 1. Major Responsibilities of Associate Director

- a. Work with the Executive Director to build a vision, goals, and activities for UCEA consistent with its mission.
- b. Lead, support, plan, manage and execute (with UCEA headquarters) the functions, recurring activities, and new initiatives of the focal area responsibilities (e.g. Program Centers, Publications, etc.)
- c. Manage, plan, and (with UCEA Headquarters) execute any awards and recognition programs associate with focal area responsibility (e.g. the Davis Award for EAQ).
- d. Provide national visibility, liaison, and outreach to relevant organizations, the public, and potential partners with regard to the focal area responsibility.
- e. With Executive Director, plan the fiscal operations of the focal area responsibility.
- f. Other responsibilities related to UCEA's mission as assigned by the UCEA Executive Committee.

#### 2. Review Process for Associate Director Performance

The following review process is adopted as a set of procedural guidelines for the review of the associate director's performance:

1. The term of appointment for all UCEA Associate Directors shall be a period of three years, renewable.
2. By the end of April each year, the Associate Director shall provide the Executive Director:
  - a. A brief report of activities and accomplishments for the current year to date, specifically as they relate to the adopted objectives for the year and organized in terms of the major responsibility categories identified above;
  - b. A proposed set of objectives for the coming year and an assessment of his or her focal area of responsibility in terms of policy issues, program initiatives, budget and issues for action in the future;
3. By the end of April in the third year of her or his term, the Associate Director shall provide the Executive Director:
  - a. A brief report of activities and accomplishments for the term of his or her appointment, specifically as they relate the adopted objectives for the year and organized in terms of the major responsibility categories identified above;
  - b. An assessment of his or her focal area of responsibility in terms of policy issues and program initiatives, and an overview of issues that should be considered for action in the future;
  - c. An official statement of his/her desire for extending or terminating the appointment for an additional term.
4. The use of the Associate Director reports shall be limited to performance review and renewal decisions as well as a source of information regarding UCEA accomplishments.
5. In advance of the fall UCEA governance meeting, the UCEA Executive Director will share information concerning Associate Director performance with the UCEA Executive Committee, resulting in the following actions:
  - a. Develop an evaluative statement summarizing the assessment of the Associate Director's performance including a list of performance commendations and recommendations;
  - b. Discuss and provide guidance on performance objectives for the coming year;
  - c. In the third year, develop a recommendation regarding extension of the term for an additional three years, if applicable.

6. By mutual agreement of the Executive Director and the Associate Director, an Associate Director's term can be amended, and/or terminated at any time.

### **3. Selection of Associate Directors**

The UCEA Executive Director, as the manager of all Headquarters staff, is tasked with the recruitment and selection of UCEA Associate Directors. The Executive Director shall seek recommendations and input from the Executive Committee concerning potential candidates.

## IV. Publications

*Approved by action of the Executive Committee 10/97; revised 11/05*

### IV.A General Policy

1. It has been and will continue to be the policy of the University Council for Educational Administration to solicit, commission and assist with the publication of manuscripts, simulations and instructional materials of good quality that are consistent with its mission. Furthermore, UCEA has and will continue to develop and issue serial publications that will further the dialog among scholars in the field of educational administration.
2. All publications, both serial and non-serial, issued by the University Council for Educational Administration or one of its centers or task forces are the property of the UCEA unless explicitly transferred in writing to another individual or agency.
3. The Executive Committee of the University Council for Educational Administration shall govern policy, personnel and contractual matters in publications produced under the auspices of UCEA.
4. The University Council for Educational Administration is committed to equal opportunity and equity regarding service on editorial or advisory boards for UCEA publications, and content of serial and non-serial publication published for and by UCEA. Affirmative action will be taken to insure that all publications' editorial and advisory boards include women and ethnic/racial minority members.
5. Editorial, editorial policy and certain operating duties may be delegated to editors and editorial and advisory boards appointed by the Executive Committee. Editors and editorial and advisory boards shall not have the right to encumber UCEA funds not specifically budgeted for their publications, nor the right to enter into agreements that put the general funds of UCEA at risk. UCEA is not responsible for losses incurred by publications beyond funds specifically allocated.
6. The Executive Committee may appoint a UCEA Associate Director of Publications to manage and oversee the publications activities of the consortium. Among other responsibilities, the associate director will co-chair the publications committee and act as liaison between the publications committee, UCEA journal editors and the executive director and executive committee.
7. The University Council for Educational Administration, member institutions, its executive director, associate director of publications, and members of its governing bodies shall be suitably indemnified from actions or judgments that may result from publication of any materials.
8. (adopted by the EC 1/98) For publication of materials for which there is no standing editorial or advisory board, the executive director will serve as consulting editor and a panel of three (two members of the EC [elected annually by and from the Executive Committee's membership] and one PSR [invited by the executive director] will serve as the Editorial Panel. Individuals should be elected or appointed to the panel based on their agreement to work on short notice when necessary.
9. The UCEA Publications Committee will consist of at least one Executive Committee member, 1-3 Plenary Session members, 1-3 at large faculty, and one past president serving staggered three year terms. The committee serves as an advisory board for the consortium, providing reviews and guidance of proposals for UCEA publications. The publications committee will conduct most of its business electronically and will also hold at least one meeting during the UCEA convention.  
  
The committee will assist UCEA in developing a publications agenda, respond to draft prospectuses (e.g., an outline of the proposed work, projected timelines, credentials of authors/editors, and a description of financial impact on UCEA), and assist UCEA in talent development. Written evaluations of prospectuses by committee members will be retained as part of the project files. Recommendations of the Panel will be reported to the Executive Committee at its regular meetings.
10. The University Council for Educational Administration recognizes that for publications it commissions, directly sponsors or solicits, and if quality justifies it has a subsequent responsibility to print and appropriately disseminate. Consequently, no publication will be commissioned, or otherwise approved without also approving an accompanying budget and marketing strategy.
9. It is the prerogative of the UCEA Executive Committee to periodically evaluate for formative and summative purposes, the quality and appropriateness of the various editorial boards and publications.

#### **IV.B Policy Relating to Journals**

1. Hosting institutions, for UCEA journals shall be selected by majority vote of the Executive Committee from the pool of received applications. Adequate notice of intention to select editors must be given. Only UCEA member institutions may serve as journal hosts, unless the editorial functions are co-hosted. In the latter case, at least one host institution must be a UCEA member. Hosting and editorships will be awarded for one 5-year term with the potential to renew. Except under unusual circumstances, no host may serve for more than two consecutive terms.
2. It is the general policy of UCEA that journal publications will be self-supporting. Seed money to start a new journal may be provided if circumstance warrant. Modest editorial stipends may be granted if the UCEA is fiscally able to do so.
3. On Executive Committee action, UCEA may publish or let contracts for printing and publication of journals as it deems appropriate.

#### **IV.C The UCEA Review**

The Executive Director shall appoint two features editor for the UCEA Review, each with three-year terms that are renewable once. The terms of the co-editors will be staggered to ensure a level of journalistic and programmatic continuity. The Executive Director shall appoint additional section editors (e.g., interview editor, innovative program editor) as appropriate. The term of additional section editors is three-years renewable.

#### **IV.D. Educational Administration Quarterly (EAQ)**

1. The UCEA Executive Director shall hold continuing membership on the Editorial Board.
2. The editor shall submit editorial team nominees for review and appointment by the UCEA Executive Committee prior to their assuming editorial duties. All members of the editorial team, including the editor, serve at the pleasure of the UCEA Executive Committee. Terms of members of the editorial team will ordinarily be coterminous with the editor's term.
3. The editor's slate of editorial board nominees (including those being recommended for a second consecutive term) shall be reviewed and appointed by the Executive Committee at its annual fall meeting. In reviewing the editorial board membership roster, the Executive Committee shall oversee general commitment to criteria of rigorous scholarship, the agreed upon editorial policy of the journal, UCEA membership representation, and diversity, and shall assure these criteria by directly communicating any concerns with the editor or, in the case of serious and repeated disregard for the criteria, by replacing the editor.

The EAQ Editorial Board will have 43 members.

Newly named members of the editorial board shall assume their positions January 1 of the year following appointment.

Up to twelve seats may be given to scholars not affiliated with UCEA member universities. Whenever a member of the EAQ Editorial Board is no longer affiliated with a UCEA member university, the term of office shall terminate at the end of the calendar year in which the affiliation is broken. The regular procedure for selecting new Editorial Board members shall be followed in filling such a vacancy. The term of the new appointee shall be equivalent to the unexpired term of the predecessor.

4. The Executive Committee shall appoint a new EAQ editor and/or other editorial team members whenever this becomes necessary. While a three-year hosting agreement is in effect, the host institution (or team of collaborating editors) shall nominate individual(s) to fill vacancies on the team, but it is reserved to the Executive Committee to make these appointments.

#### **IV.E. Journal of Cases in Educational Leadership (JCEL) (10/28/2002)**

1. The UCEA executive director shall hold continuing membership on the Editorial Board.
2. The editor shall submit editorial team nominees for review and appointment by the UCEA Executive Committee prior to their assuming editorial duties. All members of the editorial team, including the editor, serve at the pleasure of the UCEA Executive Committee. Terms of members of the editorial team will ordinarily be coterminous with the editor's term.

3. The editor's slate of editorial board nominees (including those being recommended for a second consecutive term) shall be reviewed and appointed by the Executive Committee at its annual fall meeting. In reviewing the editorial board membership roster, the Executive Committee shall oversee general commitment to criteria of rigorous scholarship, the agreed upon editorial policy of the journal, UCEA membership representation, and diversity, and shall assure these criteria by directly communicating any concerns with the editor or, in the case of serious and repeated disregard for the criteria, by replacing the editor.

The JCEL Board shall have up to 43 members.

Newly named members of the editorial board shall assume their positions January 1 of the year following appointment.

Up to 12 of the seats on the editorial board may be given to scholars not affiliated with UCEA member universities. Whenever a member of the JCEL Editorial Board is no longer affiliated with a UCEA member university, the term of office shall terminate at the end of the calendar year in which the affiliation is broken. The regular procedure for selecting new Editorial Board members shall be followed in filling such a vacancy. The term of the new appointee shall be equivalent to the un-expired term of the predecessor.

4. The Executive Committee shall appoint a new JCEL editor and/or other editorial team members whenever this becomes necessary. While a three-year hosting agreement is in effect, the host institution (or team of collaborating editors) shall nominate individual(s) to fill vacancies on the team, but it is reserved to the Executive Committee to make these appointments.

#### **IV.F. *Journal of Research on Leadership Education (JRLE)***

1. The UCEA executive director shall hold continuing membership on the Editorial Board.
2. The editor shall submit editorial team nominees for review and appointment by the UCEA Executive Committee prior to their assuming editorial duties. All members of the editorial team, including the editor, serve at the pleasure of the UCEA Executive Committee. Terms of members of the editorial team will ordinarily be coterminous with the editor's term.
3. The editor's slate of editorial board nominees (including those being recommended for a second consecutive term) shall be reviewed and appointed by the Executive Committee at its annual fall meeting. In reviewing the editorial board membership roster, the Executive Committee shall oversee general commitment to criteria of rigorous scholarship, the agreed upon editorial policy of the journal, UCEA membership representation, and diversity, and shall assure these criteria by directly communicating any concerns with the editor or, in the case of serious and repeated disregard for the criteria, by replacing the editor.

The JRLE Editorial Board will have up to 43 members.

Newly named members of the editorial board shall assume their positions January 1 of the year following appointment.

Up to 12 of the seats on the editorial board may be given to scholars not affiliated with UCEA member universities. Whenever a member of the JRLE Editorial Board is no longer affiliated with a UCEA member university, the term of office shall terminate at the end of the calendar year in which the affiliation is broken. The regular procedure for selecting new Editorial Board members shall be followed in filling such a vacancy. The term of the new appointee shall be equivalent to the unexpired term of the predecessor.

4. The Executive Committee shall appoint a new JRLE editor and/or other editorial team members whenever this becomes necessary. While a three-year hosting agreement is in effect, the host institution (or team of collaborating editors) shall nominate individual(s) to fill vacancies on the team, but it is reserved to the Executive Committee to make these appointments.

#### **IV.G. UCEA Monographs and Books**

From time to time, UCEA may enter into agreements with academic publishers to offer timely scholarly manuscripts on critical issues facing the field. The Executive Committee and or the Executive Director may approve any agreement deemed in the best interest of the consortium. The UCEA publications committee will solicit, oversee and make recommendations to the Executive Director regarding manuscripts to publish.



## V. UCEA Membership Policy and Procedures

Revisions by the UCEA Plenum, 11/04

### A. UCEA Membership Provisions and Goals

This statement of policy governing membership in the University Council for Educational Administration (UCEA) shall be the official policy of the consortium, effective January 1, 1991. The policy shall be applicable to all current and potential UCEA member institutions. Policy governing membership shall be consistent with the established rationale of UCEA, the established logic and purpose of UCEA membership criteria, and the UCEA statement of Mission, Vision, and Values adopted by the Plenum.

#### 1. The Rationale of UCEA

The UCEA symbolizes an important aspiration; namely, advancing significantly the field of educational leadership through inter-institutional cooperation, communication, and contribution. The logic of inter-university cooperation, communication, and contribution rests upon the following propositions:

- a. Far greater human, financial, and technical resources exist in the total group of institutions belonging to UCEA than in any one of the member institutions;
- b. Strategies for combining these resources for effective improvements can be better realized through a cooperative framework than through isolated efforts of individual institutions;
- c. Cooperative patterns can be created for effectively implementing significant strategies;
- d. Motivations of UCEA institution faculty to improve educational leadership will be enhanced through cooperative ventures; and
- e. Results of program innovation and research endeavors can be disseminated efficiently through established channels that formally link the professors in member universities.

Since UCEA is founded on the concept of cooperation, membership should be viewed as an avenue for contributing as well as for receiving. Contributions within UCEA have taken a variety of expressions. Examples include the following: travel funds for professor participation in organizational activities; financial support to sponsor UCEA task force operations, career seminars, publications, and institutes; assistance in the administration of large research or development projects; and institutional membership payments. More substantial contributions are expected than mere monetary giving. It is the commitment of individuals' time, talents, and energies that form the dynamic of inter-university cooperation.

The nature of UCEA is such that membership should neither be taken lightly nor entered into hastily. Before membership is sought, a high degree of commitment to improve educational leadership through research and development should be evident on the part of faculty members and the institutions they represent. Member universities should be able to commit personnel, time, and resources to research, development, and dissemination activities toward the ends of (1) improving preparatory programs and (2) solving substantial problems in educational leadership.

#### 2. Logic and Purpose of UCEA Membership Requirements

Membership requirements inevitably relate to goals and objectives of organizations. UCEA's membership requirements, then, are related to UCEA's aspirations to advance the field of educational leadership.

The membership requirements are designed to be of assistance to the UCEA staff, the Executive Committee, the Plenum, and institutions interested in applying for membership. An overriding consideration will be given to evidence of commitment to UCEA's Mission, Vision, and Values and to the improvement of preparatory programs in educational leadership.

#### 3. UCEA Statement of Purpose

UCEA's purpose is reflected in the Mission, Vision, and Values statement adopted by the Plenum in November, 2002.

*UCEA is a consortium of research/doctoral granting institutions committed to advancing the preparation and practice of educational leaders for the benefit of schools and children. We fulfill this purpose by:*

- *Promoting, sponsoring, and disseminating research on the essential problems of schooling and leadership practice*
- *Improving the preparation and professional development of educational leaders and professors*

- *Positively influencing local, state, and national educational policy*

*UCEA is a community of learners that values:*

- *Learning and social development for ALL children*
- *Contributions of educational leaders to the success of all children*
- *Systematic inquiry that is relevant, integral, and essential to the success of children, schools, and school leaders*
- *Quality and excellence in the preparation of school leaders and professors*
- *Collaboration with schools, other educational and service agencies, and professional organizations*
- *Professional community, collegiality and respect for diverse perspectives*
- *Educational and social policy that positively support the learning and development of all children*
- *Diversity, equity, and social justice in all educational organizations*

*UCEA is a community of scholars committed to the improvement of leadership and policy that supports the learning and development of ALL children. UCEA actively initiates and leads educational reform efforts through its high quality research and preparation programs. UCEA institutions work collaboratively with schools and educational agencies to positively influence local, state, and national educational policy. UCEA constantly questions and reevaluates its practice and beliefs to ensure its effectiveness and relevance.*

#### **4. Program Standards**

The UCEA consortium asserts the following standards for educational leadership preparation programs.

- a. Faculty within preparation programs should make significant efforts to identify, develop, and promote relevant knowledge focused on the essential problems of schooling, leadership and administrative practice.
- b. The preparation program should involve a critical mass of full-time tenure-track faculty members (typically five or more) whose appointments are in the department in which educational leaders are educated and who exhibit excellence in scholarship, teaching and service in educational leadership. A majority of educational leadership coursework must be taught by these full-time faculty.
- c. The preparation program should make use of an advisory board of educational leadership stakeholders and involve leadership practitioners in program planning, teaching, and field internships.
- d. Preparation programs should engage in collaborative relationships with other universities, school districts, professional associations, and other appropriate agencies to inform program content, promote diversity within the preparation program and the field, and generate sites for clinical study, field residency, and applied research.
- e. The preparation program should be conceptually coherent and clearly aligned with some quality leadership standards, informed by current scholarship on the essential problems of schooling, leadership and administrative practice, and should make use of research-based, best practices in leadership preparation. In particular, the content of the preparation program should address problems of practice including leadership for student learning and diversity. Also, the processes of the preparation program should be based on adult learning principles.
- f. The preparation program should engage in on-going programmatic evaluation and enhancement.
- g. The preparation program should include concentrated periods of study and supervised clinical practice in settings that enable leadership candidates an opportunity to work with diverse groups of students and teachers.
- h. The preparation program should be characterized by systematic, written recruitment and admission plans that rely on multiple sources of evidence and show deliberate efforts to attract applicants who demonstrate leadership potential with particular attention given to increasing diversity within the program.
- i. The preparation program should develop and maintain systematic efforts to assist all students in professional placement and career advancement.
- j. The preparation program faculty should participate in the development, delivery, and evaluation of systematic professional development programs for educational leaders, in cooperation with appropriate professional associations and other educational and social agencies.

k. The preparation program should offer regular professional development for program faculty to enhance their skills in leadership preparation, research methods, and other content areas.

## **B. Categories of UCEA Membership**

There shall be four categories of UCEA membership: (a). Full membership, (b). Conditional membership (c) Associate membership, and (d). Partner membership. Participation in governance of UCEA, authority and responsibility for carrying out the work of the association, and the dues structure shall be determined by membership category.

### **1. Full Membership**

#### **A. For Research Generating Institutions**

Full membership shall be comprised of those public and private universities and organizations whose primary mission is the pursuit of scholarly research activity, and who satisfy the membership standard established in this policy while meeting the UCEA standard as determined through a review process conducted by the UCEA Executive Committee and Plenum.

1. Governance of UCEA shall be vested in those institutions holding full membership.
2. Members shall have authority and responsibility for carrying out the work of the Association.
3. Continuation of Full membership in UCEA shall be subject to periodic review by the Executive Committee and Plenum of UCEA.
4. Full members shall partner with other universities, school districts, schools, professional associations, and/or educational agencies in order to promote diversity and social justice in UCEA and the member institutions.
5. Dues for full members shall be established by the Plenum.
6. All membership decisions shall be made by the Executive Committee and Plenum of UCEA.

#### **B. For Research Utilizing Institutions**

Full membership shall be comprised of those public and private universities and organizations whose primary mission is quality leadership preparation and/or research utilization, and who satisfy the membership standard established in this policy while meeting the UCEA standard as determined through a review process conducted by the UCEA Executive Committee and Plenum.

1. Governance of UCEA shall be vested in those institutions holding full membership.
2. Members shall have authority and responsibility for carrying out the work of the Association.
3. Continuation of Full membership in UCEA shall be subject to periodic review by the Executive Committee and Plenum of UCEA.
4. Full members shall partner with other universities, school districts, schools, professional associations, and/or educational agencies in order to promote diversity and social justice in UCEA and the member institutions.
5. Dues for full members shall be established by the Plenum.
6. All membership decisions shall be made by the Executive Committee and Plenum of UCEA.

## 2. Conditional Membership

### A. For Research Generating Institutions

Conditional membership shall be comprised of those public and private universities and organizations, whose primary mission is the pursuit of scholarly research activity and who either do not yet satisfy the Full membership standard established in this policy or specifically request Conditional membership under this category. Conditional membership is intended for those institutions that demonstrate superior potential for meeting the UCEA standard. Membership decisions are determined through a review process conducted by the UCEA Executive Committee and Plenum.

1. Governance of UCEA is vested in those institutions holding Full membership. During the Conditional period, the university shall receive the benefits of membership and be entitled to participate in UCEA governance and other activities, including the Plenum, but may not vote nor serve on the Executive Committee. .
2. Conditional membership under this category shall not exceed five years, during which time the university shall address specific concerns written into the provision of Conditional membership.
3. Conditional members shall address specific concerns written into the Conditional Membership provisions presented by the Executive Committee during the first five years of membership in order to be considered for Full membership
4. Conditional members hoping to be considered for Full membership must re-apply for said membership. However, Conditional members are under no obligation to apply for Full membership within a specified time period.
5. UCEA is not obligated to admit the institution to Full membership for Research Generating Institutions. During this period, UCEA will provide limited consulting services to the organization in meeting the Full membership criteria.
6. All members must renew their membership through their dues on an annual basis.
7. Conditional membership status is non-renewable. In the event that no formal request to reactivate the membership category is received by UCEA six months before the end of the five-year Conditional membership period, the Conditional membership shall lapse.
8. Before the end of the established Conditional membership five-year period, the institution may submit an amended application (if an earlier application for full membership was submitted) addressing identified concerns and request that the Executive Committee forward the amended application, with its recommendation, to the Plenum for a vote on Full membership. If an earlier site visit was made, this process will include a second site visit, however, the visit may be waived at the discretion of the Executive Committee. If the institution originally requested Conditional membership before a full review by the Executive Committee was made, the institution shall prepare an application for Full membership. The Executive Committee will review this application and decide whether to recommend it to the Plenum for a vote on Full membership.
9. Conditional members shall be expected to participate in carrying out the work of the association.
10. Dues for Conditional members shall be established by the Plenum.
11. All membership decisions shall be made by the Executive Committee and Plenum of UCEA.

## **B. For Research Utilizing Institutions**

Conditional membership shall be comprised of those public and private universities and organizations, whose primary mission is quality leadership preparation and/or research utilization and who either do not yet satisfy the Full membership standard established in this policy or specifically request Conditional membership under this category. Conditional membership is intended for those institutions that demonstrate superior potential for meeting the UCEA standard. Membership decisions are determined through a review process conducted by the UCEA Executive Committee and Plenum.

1. Governance of UCEA is vested in those institutions holding Full membership. During the Conditional period, the university shall receive the benefits of membership and be entitled to participate in UCEA governance and other activities, including the Plenum, but may not vote nor serve on the Executive Committee. .
2. Conditional membership under this category shall not exceed five years, during which time the university shall address specific concerns written into the provision of Conditional membership.
3. Conditional members shall address specific concerns written into the Conditional Membership provisions presented by the Executive Committee during the first five years of membership in order to be considered for Full membership
4. Conditional members hoping to be considered for Full membership must re-apply for said membership. However, Conditional members are under no obligation to apply for Full membership within a specified time period.
5. UCEA is not obligated to admit the institution to Full membership for Research Utilizing Institutions. During this period, UCEA will provide limited consulting services to the organization in meeting the Full membership criteria.
6. All members must renew their membership through their dues on an annual basis.
7. Conditional membership status is non-renewable. In the event that no formal request to reactivate the membership category is received by UCEA six months before the end of the five-year Conditional membership period, the Conditional membership shall lapse.
8. Before the end of the established Conditional membership five-year period, the institution may submit an amended application (if an earlier application for full membership was submitted) addressing identified concerns and request that the Executive Committee forward the amended application, with its recommendation, to the Plenum for a vote on Full membership. If an earlier site visit was made, this process will include a second site visit, however, the visit may be waived at the discretion of the Executive Committee. If the institution originally requested Conditional membership before a full review by the Executive Committee was made, the institution shall prepare an application for Full membership. The Executive Committee will review this application and decide whether to recommend it to the Plenum for a vote on Full membership.
9. Conditional members shall be expected to participate in carrying out the work of the association.
10. Dues for Conditional members shall be established by the Plenum.
11. All membership decisions shall be made by the Executive Committee and Plenum of UCEA.

### 3. Associate Membership

Associate membership shall be comprised of public and private universities and organizations (both Research Generating and Research Utilizing) that do not wish to be considered for Conditional membership under a respective category and/or institutions that may want to consider Conditional or Full membership at a future time. This category is also suitable for organizations that are exploring membership in UCEA, but may not have the infrastructure or resources to meet the respective Full/Conditional Membership Criteria. Membership decisions are determined through a review process conducted by the UCEA Executive Committee and Plenum.

1. Governance of UCEA shall be vested in those institutions holding full membership. Associate members are entitled to participate in UCEA activities but are not be eligible to vote in the Plenum or serve on the Executive Committee.
2. Associate members hoping to be considered for Conditional or Full membership in either category at a future time must re-apply for said membership. However, Associate members are under no obligation to apply for Conditional/Full membership within a specified time period.
3. If an application for Conditional/Full membership is requested by an Associate Member, UCEA is not obligated to admit the institution to said membership. If an Associate Member wishes to consult with UCEA about transitioning to Conditional/Full Membership, UCEA will provide limited consulting services to the Associate Member in meeting the Conditional/Full membership criteria.
4. All members must renew their membership on an annual basis.
5. Associate membership status is renewable once every five years. If the organization wishes to remain an Associate Member after two terms (or ten consecutive years), the organization must submit a rationale as to why they chose to do so. The rationale must be approved by UCEA. In the event that no formal request to reactivate the membership category is received by UCEA six months before the end of the active Associate membership period, the Associate membership shall lapse.
6. Associate members shall be expected to participate in carrying out the work of the association.
7. Dues for Associate members shall be established by the Plenum.
8. All membership decisions shall be made by the Executive Committee and Plenum of UCEA.

### 4. Partner Membership

Partner membership shall be comprised of those school districts, K-12 schools, professional associations, and other non-university educational agencies that are engaged in efforts supportive of UCEA's mission and purpose, and whose collaborative relationship is mutually beneficial to both the partner and UCEA.

1. Partner members shall be nominated by a member university or self-nominated for a term of three years, renewable. Nominating universities shall consult with the Executive Director to initiate appropriate procedures. The letter of nomination—by either a member university or the applying entity--shall provide the rationale and potential for successful collaboration between the partner and UCEA, including specific objectives for the partnership.
2. Partner members shall participate in UCEA activities. Partner representatives shall not be eligible to vote in the Plenum or serve on the Executive Committee.
3. Partner members shall be expected to participate in carrying out the work of the Association.
4. Dues for partner members shall be set by the Plenum.
5. The Executive Committee shall make decisions on partner membership.

## C. Requirements for Membership in UCEA

### 1. Requirements for Full Membership

#### A. For Research Generating Institutions.

To be admitted to full membership in UCEA as Research Generating Institution, the applicant shall be required to satisfy UCEA's standard of excellence in administrator preparation and scholarship. This includes (but is not limited to) superior institutional commitment and capacity to provide leadership for the advancement of educational leadership preparation, scholarship, and practice consistent with UCEA's established mission and values [see **UCEA Statement of Purpose** in this document].

### **I. Categories of Evidence**

Decisions on full membership shall be made by the Executive Committee and Plenum based on three categories of evidence: (1) eligibility, including consistency with UCEA's standard of excellence; (2) consistency with UCEA's Program Standards (section A.4.); and (3) other evidence. The applicant demonstrates eligibility to apply for full membership status, based on the following criteria for each of these categories outlined below:

#### **a) Eligibility:**

The following evidence should be provided in the executive summary statement (not to exceed 7 single-spaced pages) as well as throughout the application materials.

- i. Evidence that the applicant institution offers the doctorate in educational administration/ leadership or equivalent program.
- ii. Evidence that the applicant institution is rated in the Carnegie classification system as a Doctorate Granting University (Research University Very High, Research University High, and Doctoral/Research University), or has a comparable rating within a classification system for international standing.
- iii. Evidence that the applicant demonstrates superior institutional commitment and capacity for advancement of educational leadership preparation, scholarship, and practice, as per UCEA's standard of excellence.
- iv. A letter of commitment from an appropriate university official (e.g., Provost or Vice-President) and/or the Dean of the university's college of education should be submitted.

#### **b) Consistency With UCEA's Program Standards:**

The applicant demonstrates through submission of required and volunteered evidence that it satisfies (or is making significant progress toward satisfying) program standards set forth in Section A. 4 of this document. In all cases, evidence shall include, but not be limited to, the following:

- i. Evidence of significant efforts by faculty members to identify, develop, and promote relevant knowledge focused on the essential problems of schooling, leadership and administrative practice.
  - a) A list of the 10 most recent and relevant research products of program faculty holding a minimum half-time appointment in the K-12 educational leadership preparation program.
  - b) Submission of full curriculum vitae for all program faculty
  - c) A list of recent presentations at research and professional conferences.
- ii. Evidence that the preparation program involves a critical mass of full time tenure track faculty (typically five or more) members whose appointments are in the department in which educational leaders are educated and who exhibit excellence in scholarship, teaching and service in educational leadership. A majority of educational leadership coursework must be taught by these full-time faculty.
  - a) A list of all full-time faculty with documentation of research and teaching specialties; teaching loads for the last 2 years; approximate advising load for the last 2 years (licensure and degree students); number of doctoral graduates in the last 2 years and titles of dissertations.
  - b) A list of all part-time faculty with documentation as above for full-time faculty.
  - c) A list of all other faculty members (e.g., auxiliary, "clinical," adjunct) with documentation of type of appointment (full-time or part-time), professional experience and expertise, teaching specialties, teaching load for last 2 years, and approximate advising load for last 2 years.

- d) A description of how teaching and advising loads are determined for program faculty.
  - e) A description of professional development opportunities provided to program faculty, particularly those opportunities/strategies used to improve instruction (e.g., peer evaluations, team planning and/or teaching, external expert review of syllabuses, etc.), and the professional travel funds provided to faculty each year.
  - f) A description of the faculty evaluation process and the purposes it serves.
  - g) A description of plans used in faculty recruitment and retention efforts, including a diversity plan, and the representativeness of the faculty in regard to the diversity of the region served by the university program.
- iii. Evidence that the program makes use of an advisory board of educational leadership stakeholders and involves leadership practitioners in program planning, teaching and field internships.
- a) A description of program advisory board (e.g., membership, terms, selection, etc.)
  - b) A description of strategies used by the program for obtaining other advice and participation from the field (e.g., surveys, program evaluation, etc.).
  - c) A description of plans used to recruit and retain leadership practitioners to work with the program, including a diversity plan.
- iv. Evidence that the preparation program engages in collaborative relationships with other universities, school districts, professional associations, and other appropriate agencies to (1) promote diversity within the preparation program and the field; (2) generate sites for clinical study, field residency, and applied research; and (3) other purposes as explained by the applicant.
- a) A description of the formal collaborative relationships with school districts that inform program content and delivery and facilitate the provision of clinical study and formal inquiry as part of the required educational leadership program
  - b) A list of the schools and school districts, primary contacts at each site, and contact information.
  - c) Memoranda of understanding or other formal documents that make the nature of the collaborative relationships explicit.
- v. Evidence that the preparation program is (a) conceptually coherent and clearly aligned with quality leadership standards, (b) informed by current scholarship on the essential problems of schooling, leadership and administrative practice, and (c) makes use of research-based, best practices in leadership preparation. In particular, applicants should demonstrate how the content of the preparation program addresses problems of practice including leadership for student learning and diversity. Also, evidence should be provided to demonstrate that the processes of the preparation program are based on adult learning principles.
- a) A narrative description of the program conceptual framework and how that framework is carried out through the delivery of program curriculum and other educational experiences.
  - b) A description of how the program demonstrates content and process standards.
  - c) A description of the pedagogical approach(es) used to deliver course content.
  - d) Documentation of program requirements for all educational leadership programs (degree and licensure), including coursework, internships, projects, theses, testing, exit, and any other requirements.
  - e) Specific description of the differences between the Ph.D. and Ed.D. degree programs (if applicable)
  - f) Description of the research preparation of doctoral students and how their research is linked to academic faculty research.
  - g) Syllabuses of core coursework, practica, and internships for all programs.

- vi. Evidence that the preparation program engages in on-going programmatic evaluation and enhancement.
  - a) A description of the approach(es) used to evaluate the effectiveness of each preparation program.
  - b) A brief description of the findings from the program's evaluation research.
  - c) A narrative description of how program evaluation findings have been used for program improvement.
- vii. Evidence that the preparation program includes concentrated periods of study and supervised clinical practice in settings that enable leadership candidates an opportunity to work with diverse groups of students and teachers.
  - a) Documentation (all programs) of requirements for concentrated study, clinical study, and internship. In these descriptions, include length of time, number of hours, minimal conditions necessary to meet the requirements, how these aspects of concentrated study are managed and conducted by the program faculty, and how placement decisions are made.
  - b) Documentation of scholarships, assistantships, fee remissions, etc. awarded to full-time K-12 educational administration/leadership candidates in the two most recent academic years.
- viii. Evidence that the preparation program is characterized by systematic, written recruitment and admission plans that rely on multiple sources of evidence and shows deliberate efforts to attract applicants who demonstrate leadership potential, with particular attention given to increasing diversity within the program.
  - a) A narrative description of plans, timelines and documents used in annual recruiting efforts, including a diversity plan, for each preparation program.
  - b) A list of the criteria used and a description of the procedure(s) followed to select students for participation in each preparation program.
  - c) A list of program applicants for the most recent academic year, their scores and other indicators used for screening, racial designation, gender, and whether they were admitted. (Use fictitious number-names, but be able to demonstrate case veracity).
  - d) A description of the demographics of the community served.
- ix. Evidence that the preparation program has developed and maintained systematic efforts to assist all students in professional placement and career advancement.
  - a) A narrative description of strategies for student placement and career advancement used by the program.
  - b) A list of graduates, by program, for the most recent academic year, with their position prior to completing the program and their position following program completion.
- x. Evidence that the preparation program faculty participates in the development, delivery, and evaluation of systematic professional development programs for educational leaders, in cooperation with appropriate professional associations and other educational and social agencies.
  - a) A narrative description of formal, regular, professional development efforts which the program participates in or sponsors.
  - b) Descriptions of professional development efforts planned/delivered jointly with professional associations or other educational or social agencies.
- xi. Evidence that the preparation program offers regular professional development for program faculty to enhance their skills in leadership preparation, research methods, and other content areas.
  - a) A description of recent professional development efforts provided for program faculty.
- c) *Other Evidence*  
At its discretion, the university demonstrates through other evidence its superior commitment and

capacity to provide leadership for advancement of educational leadership preparation, scholarship, and practice consistent with UCEA's Mission, Values, and Vision.

## **B. For Research Utilizing Institutions.**

To be admitted to full membership in UCEA as Research Utilizing Institution, the applicant shall be required to satisfy UCEA's standard of excellence in administrator preparation and research utilization. This includes (but is not limited to) superior institutional commitment and capacity to provide leadership for the advancement of educational leadership preparation, practice, and research utilization consistent with UCEA's established mission and values [see **UCEA Statement of Purpose** in this document].

### **I. Categories of Evidence**

Decisions on full membership shall be made by the Executive Committee and Plenum based on three categories of evidence: (1) eligibility, including consistency with UCEA's standard of excellence; (2) consistency with UCEA's Program Standards (section A.4.); and (3) other evidence. The applicant demonstrates eligibility to apply for full membership status, based on the following criteria for each of these categories outlined below:

#### **a) Eligibility:**

The following evidence should be provided in the executive summary statement (not to exceed 7 single-spaced pages) as well as throughout the application materials.

- i. Evidence that the applicant institution offers the doctorate or masters degree in educational administration/ leadership or equivalent program.
- ii. Evidence that the applicant institution is rated in the Carnegie classification system as a Doctorate Granting University (Research University Very High, Research University High, and Doctoral/Research University), Masters College or University (large, medium, or small), a Tribal College, or has a comparable rating within a classification system for international standing.
- iii. Evidence that the applicant demonstrates superior institutional commitment and capacity for advancement of educational leadership preparation, scholarship, and practice, as per UCEA's standard of excellence.
- iv. A letter of commitment from an appropriate university official (e.g., Provost or Vice-President) and/or the Dean of the university's college of education should be submitted.

b) *Consistency With UCEA's Program Standards:*

The applicant demonstrates through submission of required and volunteered evidence that it satisfies (or is making significant progress toward satisfying) program standards set forth in Section A. 4 of this document. In all cases, evidence shall include, but not be limited to, the following:

- i. Evidence of significant efforts by faculty members to identify, develop, and promote relevant knowledge of best practices focused on the essential problems of schooling, leadership and administration.
  - a) A list of the 10 most recent and relevant scholarly and academic products of program faculty holding a minimum half-time appointment in the K-12 educational leadership preparation program.
  - b) Submission of full curriculum vitae for all program faculty
  - c) A list of recent presentations at research and/or professional conferences.
- ii. Evidence that the preparation program involves a critical mass of full time faculty members whose appointments are in the department in which educational leaders are educated and who exhibit excellence in scholarship, teaching or service in educational leadership. A majority of educational leadership coursework must be taught by these full-time faculty.
  - a) A list of all full-time faculty with documentation of research and/or teaching specialties; teaching loads for the last 2 years; approximate advising load for the last 2 years (licensure and degree students); number of graduates in the last 2 years and titles of dissertations (if applicable).
  - b) A list of all part-time faculty with documentation as above for full-time faculty.
  - c) A list of all other faculty members (e.g., auxiliary, "clinical," adjunct) with documentation of type of appointment (full-time or part-time), professional experience and expertise, teaching specialties, teaching load for last 2 years, and approximate advising load for last 2 years.
  - d) A description of how teaching and advising loads are determined for program faculty.
  - e) A description of professional development opportunities provided to program faculty, particularly those opportunities/strategies used to improve instruction (e.g., peer evaluations, team planning and/or teaching, external expert review of syllabuses, etc.), and the professional travel funds provided to faculty each year.
  - f) A description of the faculty evaluation process and the purposes it serves.
  - g) A description of plans used in faculty recruitment and retention efforts, including a diversity plan, and the representativeness of the faculty in regard to the diversity of the region served by the university program.
- iii. Evidence that the program makes use of an advisory board of educational leadership stakeholders and involves leadership practitioners in program planning, teaching and field internships.
  - a) A description of program advisory board (e.g., membership, terms, selection, etc.)
  - b) A description of strategies used by the program for obtaining other advice and participation from the field (e.g., surveys, program evaluation, etc.).
  - c) A description of plans used to recruit and retain leadership practitioners to work with the program, including a diversity plan.

- iv. Evidence that the preparation program engages in collaborative relationships with other universities, school districts, professional associations, and other appropriate agencies to (1) promote diversity within the preparation program and the field; (2) generate sites for clinical study, field residency, and applied research; and (3) other purposes as explained by the applicant.
  - a) A description of the formal collaborative relationships with school districts that inform program content and delivery and facilitate the provision of clinical study and formal inquiry as part of the required educational leadership program
  - b) A list of the schools and school districts, primary contacts at each site, and contact information.
  - c) Memoranda of understanding or other formal documents that make the nature of the collaborative relationships explicit.
- v. Evidence that the preparation program is (a) conceptually coherent and clearly aligned with quality leadership standards, (b) informed by current research, scholarship and clinical practices on the essential problems of schooling, leadership and administration. In particular, applicants should demonstrate how the content of the preparation program addresses problems of practice including leadership for student learning and diversity. Also, evidence should be provided to demonstrate that the processes of the preparation program are based on adult learning principles.
  - a) A narrative description of the program conceptual framework and how that framework is carried out through the delivery of program curriculum and other educational experiences.
  - b) A description of how the program demonstrates content and process standards.
  - c) A description of the pedagogical approach(es) used to deliver course content.
  - d) Documentation of program requirements for all educational leadership programs (degree and licensure), including coursework, internships, projects, theses, testing, exit, and any other requirements.
  - e) Description of the preparation of students and how their preparation is linked to research utilization efforts.
  - f) Syllabuses of core coursework, practica, and internships for all programs.
- vi. Evidence that the preparation program engages in on-going programmatic evaluation and enhancement.
  - a) A description of the approach(es) used to evaluate the effectiveness of each preparation program.
  - b) A brief description of the findings from the program's evaluation research.
  - c) A narrative description of how program evaluation findings have been used for program improvement.
- vii. Evidence that the preparation program includes concentrated periods of study and supervised clinical practice in settings that enable leadership candidates an opportunity to work with diverse groups of students and teachers.
  - a) Documentation (all programs) of requirements for concentrated study, clinical study, and internship. In these descriptions, include length of time, number of hours, minimal conditions necessary to meet the requirements, how these aspects of concentrated study are managed and conducted by the program faculty, and how placement decisions are made.
  - b) Documentation of scholarships, assistantships, fee remissions, etc. awarded to full-time K-12 educational administration/leadership candidates in the two most recent academic years.
- viii. Evidence that the preparation program is characterized by systematic, written recruitment and admission plans that rely on multiple sources of evidence and shows deliberate efforts to attract applicants who demonstrate leadership potential, with particular attention given to increasing diversity within the program.

- a) A narrative description of plans, timelines and documents used in annual recruiting efforts, including a diversity plan, for each preparation program.
  - b) A list of the criteria used and a description of the procedure(s) followed to select students for participation in each preparation program.
  - c) A list of program applicants for the most recent academic year, their scores and other indicators used for screening, racial designation, gender, and whether they were admitted. (Use fictitious number-names, but be able to demonstrate case veracity).
  - d) A description of the demographics of the community served.
- ix. Evidence that the preparation program has developed and maintained systematic efforts to assist all students in professional placement and career advancement.
- a) A narrative description of strategies for student placement and career advancement used by the program.
  - b) A list of graduates, by program, for the most recent academic year, with their position prior to completing the program and their position following program completion.
- x. Evidence that the preparation program faculty participates in the development, delivery, and evaluation of systematic professional development programs for educational leaders, in cooperation with appropriate professional associations and other educational and social agencies.
- a) A narrative description of formal, regular, professional development efforts which the program participates in or sponsors.
  - b) Descriptions of professional development efforts planned/delivered jointly with professional associations or other educational or social agencies.
- xi. Evidence that the preparation program offers regular professional development for program faculty to enhance their skills in leadership preparation, research utilization, and other content areas.
- a) A description of recent professional development efforts provided for program faculty.
- c) *Other Evidence*  
 At its discretion, the university demonstrates through other evidence its superior commitment and capacity to provide leadership for advancement of educational leadership preparation and practice consistent with UCEA's Mission, Values, and Vision.

## 2. Requirements for Conditional Membership

### A. For Research Generating Institutions.

Decisions on conditional membership for research-generating institutions shall be made by the Executive Committee and Plenum based on the following:

- a) Evidence that the applicant university offers the doctorate in educational leadership or equivalent program.
- b) Evidence that the applicant university is rated in the Carnegie classification system as a Doctoral Granting University, or has a comparable rating within a classification system for international settings.
- c) Evidence that the applicant is committed to the advancement of educational leadership preparation, scholarship, and practice, in accordance with UCEA's Mission, Values, and Vision statement. This evidence may be provided in an executive summary statement (not to exceed 5-7 single-spaced pages).
- d) A letter of commitment from an appropriate university official (e.g., Provost or Vice-President) and/or the Dean of the university's college of education, and Chair of the respective Department of Educational Leadership/Administration should be submitted.
- e) Evidence of the applicant's intention to meet the requirements for Full membership as a Research Generating Institution in UCEA within 5 years. This evidence should be provided in a program improvement plan (not to exceed 7 single-spaced pages) as well as in the letter of commitment stipulated in 2c above.

### B. For Research Utilizing Institutions.

Decisions on conditional membership for research-utilizing institutions shall be made by the Executive Committee and Plenum based on the following:

- a) Evidence that the applicant university offers the doctorate or master's degree in educational leadership or equivalent program.
- b) Evidence that the applicant institution is rated in the Carnegie classification system as a Doctorate Granting University (Research University Very High, Research University High, and Doctoral/Research University), Masters College or University (large, medium, or small), a Tribal College, or has a comparable rating within a classification system for international settings.
- c) Evidence that the applicant demonstrates superior institutional commitment and capacity for advancement of educational leadership preparation, scholarship, and practice, as per UCEA's standard of excellence. This evidence may be provided in an executive summary statement (not to exceed 5-7 single-spaced pages).
- d) A letter of commitment from an appropriate university official (e.g., Provost or Vice-President) and/or the Dean of the university's college of education, and Chair of the respective Department of Educational Leadership/Administration should be submitted.
- e) Evidence of the applicant's intention to meet the requirements for full membership as a Research Utilizing Institution in UCEA within 5 years. This evidence should be provided in a program improvement plan (not to exceed 7 single-spaced pages) as well as in the letter of commitment stipulated in 2c above.

### 3. Requirements for Associate Membership.

Decisions on Associate membership shall be made by the Executive Committee and plenum based on the following:

- a) Evidence that the applicant institution offers at least a master's degree in educational leadership or an equivalent program/training.
- b) Evidence that the applicant institution is rated in the Carnegie classification system as a Doctorate Granting University (Research University Very High, Research University High, and Doctoral/Research University), Masters College or University (large, medium, or small), a Tribal College, or has a comparable rating within a classification system for international settings.
- c) Evidence that the applicant is committed to the advancement of educational leadership preparation, scholarship or practice, in accordance with UCEA's Mission, Values, and Vision statement. This evidence may be provided in an executive summary statement (not to exceed 7 single-spaced pages).
- d) A letter of commitment from an appropriate university official (e.g., Provost or Vice-President) and/or the Dean of the university's college of education, and Chair of the respective Department of Educational Leadership/Administration should be submitted.
- e) If the university applicant is considering Conditional or Full membership at a future time, evidence of the applicant's intention to meet the requirements for conditional membership in UCEA within the allotted time frame should be presented. This evidence should be provided in a program improvement plan (not to exceed 5 single-spaced pages) as well as in the letter of commitment stipulated in 3c above.

### 4. Requirements for Partner Membership.

Decisions on Partner membership shall be made by the Executive Committee based on the following:

- a) Evidence that the applicant demonstrates clear potential for successful collaboration with UCEA.
- b) Evidence that membership and participation in UCEA will be mutually beneficial
- c) Evidence that the applicant is committed to the advancement of educational leadership preparation, scholarship, or practice, in accordance with UCEA's Mission, Values, and Vision statement. This evidence may be provided in an executive summary statement (not to exceed 7 single-spaced pages).
- d) A letter of commitment from an appropriate representative or agent of the organization (e.g., Superintendent, Principal, Program Director, etc.).

### D. UCEA University Membership Procedures

Universities seeking membership in UCEA shall follow established application procedures as follows:

1. Prior to submitting a membership application, interested universities shall consult with the executive director on all aspects of application, including eligibility and appropriateness. Membership application materials will be supplied to interested institutions upon request.
2. An interested university may develop an application portfolio, if it is willing to assume responsibilities of membership and believes that it can meet UCEA's membership standard.
3. Upon request, UCEA shall appoint a consultant to assist the applying university in preparing its application portfolio.
4. The applying university shall file two (2) paper copies of the completed application with the UCEA Central Office, one (1) electronic copy of the completed application with the UCEA Central Office, and a hard copy with each of the nine (9) current members of the Executive Committee
5. On the basis of the application, the Executive Committee shall determine if a site visit team should be sent to the applying university (at the applicant's expense) or if additional information is needed from the applying university.

6. After considering the site visitation report, the Executive Committee shall ordinarily recommend a membership decision to the Plenum, or, extraordinarily, offer provisional membership to the applying university.
7. Upon recommendation of the Executive Committee, the applying university shall forward copies of the application (with abbreviated vitae) to Plenum Representatives prior to a vote. In the case of a recommendation not to admit, the applicant may withdraw from the membership process prior to the vote of the Plenum.
8. Following the vote, an applying university shall be informed of the results. For memberships activated after July 1, the membership fee will be prorated for the first year.

#### **E. Requirements for Continuation of UCEA University Membership**

##### **Revisions approved by the plenum 12/14**

Continuation of university membership in UCEA shall be subject to periodic review by the Executive Committee and Plenum of UCEA.

University members of UCEA shall, as a condition of continued membership, engage in a UCEA recommitment review (formerly called sabbatical review). The recommitment process consists of two phases. For the first phase, institutions will complete a survey from UCEA every other year to document the features of their leadership programs. For the second phase of the recommitment process, institutions will review reports generated from their survey data, consider their program characteristics relative to UCEA institutional quality standards, and, if applicable design a program improvement plan aimed at enhancing program quality. The second phase will occur at least once every six to seven years, optimally at the mid-point of a program's accreditation, state or other external review.

#### **F. Readmission to UCEA University Membership**

Universities seeking readmission within seven years of their admission or sabbatical review shall be required to submit materials consistent with procedures established for sabbatical membership reviews. Such universities, which do not meet UCEA member requirements at the time readmission is sought, shall be permitted to seek "provisional status" as specified in this policy statement.

#### **G. UCEA Membership Dues**

##### **Revisions approved by the plenum 12/05**

UCEA membership dues for all membership categories shall be determined by the Plenum. The Executive Committee is directed to review the amount of dues and payment schedules no less than once every three years. If during the review, it is found that the rate of inflation has increased by more than 8% since the last dues increase, that the program initiatives of the organization have expanded to a substantial degree, or that UCEA is faced with other unanticipated financial exigencies, then the Executive Committee may recommend a dues increase. Only dues increases of at least \$500 per year will be considered. A minimum of one-year's notice of changes in dues amounts shall be given to member institutions.

#### **H. Sabbatical Review**

(effective 2/91, revised 2/95)

Article I, Section 4 of the UCEA Code of Regulations requires that "each member of the corporation shall provide evidence every seven (7) years that it continues to meet the criteria as to superiority of program, staff, facilities, and funds established by this corporation as a condition of membership."

#### **Preamble**

The purpose of this self-study is to provide each member institution opportunities to: 1) review its commitment to improve its programs in educational administration; 2) assess progress in the attainment of program goals; 3) exhibit unique program qualities and strengths and, 4) describe future program goals and opportunities.

##### **A. Review purpose, standard, and responsibilities.**

1. The year during which a member is to be reviewed will be established by the Executive Committee. Subsequent reviews shall occur at least every seven (7) years. The review date may be rescheduled by the Executive Committee. A postponement may be sought, provided it comes with a serious reason under the signature of the

dean and is received on or before August 15 of the academic year in which the report is due. Only under extraordinary circumstances would a second postponement be considered.

2. The purpose of the review is to present a succinct description (10-15 single-spaced typewritten pages) of the department's current status and future goals specifically related to UCEA membership criteria.
3. Review Standard: To retain membership in good standing, members shall be required to satisfy UCEA's standard of excellence in administrator preparation:

Superior institutional commitment and capacity to provide leadership for advancement of educational administration preparation, scholarship, and practice consistent with UCEA's established mission and purpose.

B. Operational definition and measures of the standard of excellence.

Ultimately, the determination that a member university does or does not meet the UCEA Standard of Excellence rests on the professional judgment of the Executive Committee. However, for purposes of review, that judgment shall be based on evidence of eligibility, commitment to UCEA's program standards, and other relevant evidence.

1. Continued eligibility:

The university demonstrates eligibility for membership status, based on:

- a. Evidence that the university offers the doctorate in educational administration or equivalent program.
  - b. Evidence that the institution is rated in the Carnegie classification system as a Research I, Research II, or doctoral I institution. Member universities in good standing shall be exempt from this requirement for purposes of sabbatical review.
2. The university will provide a narrative description of its faculty and program(s), demonstrate its commitment and capacity to provide leadership for the advancement of educational administration preparation, scholarship, and practice consistent with UCEA's established mission and purpose. Describe activity, capacity, and achievement related to the following program standards.
    - a. Faculty
      - 1) The program involves a critical mass of full-time faculty whose appointments are in the department in which educational administrators are educated and who exhibit excellence in scholarship and teaching in educational administration and sensitivity to the needs and concerns of practitioners.
      - 2) Evidence of significant efforts by faculty members to identify, develop and promote a relevant, professional knowledge base for the contemporary practice of educational administration.
    - b. Program
      - 1) The program requires an appropriate master's degree as a prerequisite for study in the professional preparation program.
      - 2) The program is systematic, sequential, and linked to the knowledge base and best practices of the field.
      - 3) The program includes concentrated periods of full-time study and supervised clinical practice.
      - 4) The program has established long-term formal relationships with selected school districts, and other appropriate agencies, to create partnership sites for clinical study, field residency, and applied research.
    - c. Recruitment and Placement
      - 1) The program is characterized by systematic, written recruitment and admission plans that rely on multiple sources of evidence and show deliberate efforts to attract highly qualified applicants, including applicants from racial and ethnic minority groups and women.
      - 2) The program has developed and maintained systematic efforts to assist all students in professional placement and career advancement.
    - d. Professional Development

The program participates in the development, delivery, and evaluation of systematic professional development programs for educational leaders, in cooperation with appropriate professional associations and other educational and social agencies.

To best meet the unique needs and capacities of each member institution, the required evidence to support the 10-15 page narrative may be provided to the UCEA Sabbatical Review Team in one of two ways:

- 1) At your invitation, and after notification of the UCEA central office, a standing Plenum Representative of your choice will make a site visit to your university. All evidence stipulated in this section will remain on campus for examination during the site visit. The university under review will cover the costs for the site visit. Again, local capacity and preference would be the primary consideration for the use of a site visit.
- 2) A member institution may choose to provide documentary evidence organized into a succinct appendix of appropriate materials relevant to UCEA program standards.
3. "Vitae" of all program faculty.

C. Sabbatical Review Procedures.

In the assigned year of its Sabbatical Review, member universities are asked to conduct a self-study and produce a report (conforming to the outline below) for submission to the UCEA Executive Committee. Reports shall address any additional criteria for membership that may be adopted or modified by the corporation subsequent to the adoption of this statement of review policies and procedures. The core of the review report shall be limited to a narrative statement that describes the department's current status and future goals specifically related to UCEA membership criteria and program standards. The narrative summary shall be limited to 10-15 single-spaced pages.

D. Report Outline.

1. Cover letter(s) signed by university chief academic officer and college dean, confirming the university's continuing commitment to excellence in the professional preparation of school administrators and knowledge production.
2. Narrative response to the 9 program standards (not to exceed 15 pages, single spaced)
3. Vitae of educational administration faculty.
4. The member institution will indicate its preference for a site visit or if it will provide required evidence in written summary form. In the case of the former, the visitor should be named, after consultation with the Executive Director, regarding eligibility of the nominee. In the case of the latter, the evidence should be included as appendices to the report. The documentation should be organized and summarized so that the reviewers can easily determine whether or not the program standards are met. It is the responsibility of the reviewed university to demonstrate, point by point, that the program standards are met. In the absence of such organized and convincing evidence, the reviewers must presume that program standards are not met.

E. Report Specifications.

1. The report shall be prepared by the member institution and twelve (12) copies shall be submitted not later than January 15<sup>th</sup> of the year during which the university is scheduled for review. For example, a university scheduled for review during the 1995-96 period will submit its report to the Executive Director on or before January 15, 1996. One copy shall be sent to each of the nine members of the Executive Committee (mailing labels will be supplied) and three (3) copies will be sent to the UCEA offices. The basic reporting period shall ordinarily consist of the full academic year most recently completed. For example, a university scheduled for review during the 1995-96 period will use the academic year ending June 1995 as the basic reporting period.
2. If your university chooses a site visit, it should occur between January 30 and March 15 of the review year. At the end of the site visit, the designated visitor will be expected to meet with appropriate officials to review findings, impressions, and such recommendations as will be forwarded to the Executive Committee. In their report to the Executive Committee, visitors will explicitly indicate and demonstrate whether or not the institutions under review meet each program standard.
3. At its spring/summer meeting, based on the submitted report, evidence, and/or report of the visitor, the Executive Committee shall make a determination whether or not the university continues to meet the UCEA standard of excellence. Moreover, the Executive Committee will be explicit in its determination concerning any deficiencies and strengths relative to the program standards and comments to the reviewed institution. The Executive Director shall inform member universities of the Executive Committee's determination and the Committee's rationale for making that determination.
  - a. In case of a determination that the university does continue to meet the standard of excellence, the member continued membership in good standing for seven years.
  - b. If it is determined that a member university does not meet the standard of excellence, the Executive Director's letter shall include a list of those areas in which the university is deficient (based on specific review of the Executive Committee) and notification that its membership may be terminated if it does not meet the standard within three (3) years of notification. Six months prior to the third anniversary of

notification, the university shall submit twelve (12) copies of an updated report, responsive to the deficiencies noted. If the Executive Committee, at its next face-to-face session, then determines that the deficiencies have been corrected, the member university shall be restored to good standing. If the deficiencies have not been corrected, the Executive Committee shall recommend to the Plenum that membership be terminated. Termination shall be by a majority vote of the Plenum, ordinarily responding to a mail referendum.

#### **Termination of Probationary Status**

adopted by the Executive Committee 2/19/88

Universities on probation may request early consideration for removal from probation, at the same time they submit a report responsive to the deficiencies.

#### **Requests for Postponement**

adopted by the Executive Committee 7/24/95

The executive director may act on the requests for postponement, provided they fall within the policy guidelines approved by the Executives Committee.

#### **UCEA Sabbatical Review Postponement Policy**

adopted by the Executive Committee 4/12/93

Effective immediately, UCEA member universities assigned to a specific academic year for submitting to the Consortium's Sabbatical Review procedure will be permitted to seek a postponement for one year, provided

1. a serious and credible reason for the postponement is provided, over the signature of the dean;
2. the request is received by the UCEA before August 15 of the academic year in which the report is due.

Only under the most extraordinary circumstances would a second postponement be considered.

#### **Proposed Site Visitor Guidelines (not approved)**

(This is a draft of guidelines to be used by the site visitor. Comments, corrections, and additions are welcome. These guidelines are not official, that is, they have not been adopted by the EC.)

1. Advance Arrangements:
  - a. All costs associated with the visitation are the responsibility of the university under review.
  - b. Instruct the host university to have scheduled meetings with the educational administration department chair, all individual educational administration faculty, current degree candidates and license students, the provost (or equivalent academic officer) and an exit meeting with the college dean.
  - c. arrange for necessary evidence, data to be centrally collected and summarized for your review (related to the nine program standards).
2. Site Visit:
  - a. Examine complete set of evidence with respect to the nine program standards.
  - b. Meet with groups and individuals as scheduled.
  - c. Observe general quality factors and review draft of preliminary recommendations with appropriate university officials (most likely the dean) prior to departure.
3. Report to the Executive Committee:
  - a. The report should contain a summary of the accuracy of the institution's self-report for each of the nine program standards.
  - b. The report should highlight the substance of the various meetings.
  - c. Report should contain summaries of discussions with individual educational administration faculty members, including the history of their UCEA participation and interest in future UCEA activities and projects.
  - d. Summary of strengths, weaknesses of educational administration program and recommendations for improvement.

**VI. Research**

adopted by the Board of Trustees 11/4/65

- A. Research of the UCEA shall focus on problems that require the cooperative efforts of central staff and member institution or institutions. Thus members will have an opportunity to accomplish those things which they need to do in research, but which they could not accomplish as well, if at all, independently.
- B. Research may be of two kinds:
  - 1. Sponsored research which is endorsed by the UCEA and which it helps finance.
  - 2. Approved research which the UCEA endorses but does not help finance.
- C. In deciding on projects, experimentation, and activities to be sponsored or supported, the Board of Trustees, acting on the recommendation of the Executive Director, shall appoint Project Committees whose function it shall be to examine research proposals with respect to their agreement with the UCEA purpose, their importance, planning, probability of execution, and availability of resources.
- D. The UCEA shall solicit funds for the support of various projects, experimentations, etc., through the office of the Executive Director.
- E. The UCEA shall cooperate with various agencies and organizations in the development of research, interpreting their purposes and plans, eliciting assistance, and collaboration.
- F. As a general rule, research studies will be centered in member institutions. Exceptions, as determined by the Board of Trustees, may center research studies with the central staff whenever:
  - 1. The scope of the base for data collection is too broad for a single institution to encompass effectively, or
  - 2. The nature of the problem is such that its solution would be facilitated.
- G. The primary function of the central UCEA office shall be that of a coordinating, facilitating, and service agency.
- H. Each project shall be responsible for publishing its own reports.

## **VII. Hosting the UCEA Headquarters**

### **Hosting Arrangements for UCEA Headquarters**

adopted by the Executive Committee 2/19/88; revisions approved by the plenum 12/05

Requests for Proposals (RFPs) shall automatically be issued during the penultimate year of each UCEA-hosting contract, with preference given to five-year contracts and no proposal accepted for fewer than three years. (adopted by the Executive Committee 2/19/88)

At least eighteen months prior to the end of a contract period, the current host university will be invited to submit a proposal for the next contract period. If the Executive Committee deems the proposal in the interests of UCEA, it may recommend to the Plenum that the consortium dispense with an RFP and, with approval of a majority vote of the Plenum, negotiate a new contract with the current host covering the next contract period. (adopted by the Executive Committee 10/25/95)

Twenty-four months prior to the end of a second contractual term with the same host institution, the Executive Committee must automatically issue an RFP. The current host will be invited to submit a proposal to continue hosting UCEA headquarters and will be provided equal consideration as all other proposing institutions. (new text) Procedures for implementing this policy should be guided by past practice in the selection process. See hosting and transition files.

## VIII. UCEA Program Centers

### VIII.A. Purposes and Major Activities of UCEA Program Centers. (revised 11/10/05)

The primary purpose of a UCEA Program Center is to work in a targeted area of interest over a substantial period of time through identifying and coalescing the interests and resources of UCEA-member and non-member institutions, school districts, and governmental agencies. The program center serves to promote and project development through the leadership of faculty colleagues at UCEA member institutions. Program center efforts serve UCEA's mission by involving UCEA member faculty in significant work in focused inquiry areas of contemporary importance and interest, by creating multi-institutional interest networks, and by giving broad recognition to efforts of UCEA institutions and their faculties.

UCEA Program Centers add a new and vibrant dimension to the extant academic department activities. Centers offer a reason to establish new goals along with the necessary peer relationships to accomplish them. Centers produce, by virtue of knowledge production and exchange, the basis for desirable programmatic changes that benefit educational administration and leadership and the organizations served by educational leaders.

The primary purpose of UCEA Program Centers is advance knowledge, through inquiry, in the targeted area of interest. Program Center Directors are strongly encouraged to engage in high quality research, to seek external funding to support such research, and to form research groups to exchange ideas relating to lines of inquiry that promise to provide significant insights for both preparation and practice.

Other major activities of a UCEA Program Center include, but are not limited to, the following:

1. Establishing an advisory board to guide the work of the program center.
2. Identifying a network of individuals interested in participating in the center's work. Whenever possible, involving faculty from multiple universities, as well as practicing school administrators and state education agency leaders, to promote effective liaison with other organizations and individuals that share the center's interests and goals.
3. Creating task forces to develop curriculum and other materials useful in improving the preparation of educational leaders, in advancing educational administration and leadership practice, and in improving educational policymaking.
4. Organizing seminars, workshops, conferences, and other outreach activities to share new understandings, practices, and materials with others who share UCEA goals for advancing the field of educational administration and leadership.
5. Sharing center interests, action plans, accomplishments, and products through special network meetings at the UCEA Annual Convention; meeting periodically with the Executive Director and members of the Executive Committee; and, participating at conferences of other professional associations dedicated to the improvement of administrator preparation and practice.

### VIII.B. Procedures for Establishing UCEA Program Centers

Suggestions for program center targeted interest areas may come from any one of a number of different sources. For example, UCEA member universities, the Executive Committee, the Executive Director, Plenary Session Representatives, directors of existing program centers, or others may submit suggestions for the creation of a new program center. Specific suggestions for program center targeted interest areas shall be solicited by the UCEA Associate Director of Program Centers from UCEA Plenary Session Representatives on a regular basis, at least once every three years.

Suggestions will be reviewed by the UCEA Associate Director of Program Centers, the Program Center Advisory Board, and the UCEA Executive Director. Their formal recommendations shall be made in writing to the UCEA Executive Committee. Factors to be considered in recommending and approving the creation of a new program center include: 1) Is the center's work consistent with UCEA's mission? 2) Does the new center's topical thrust conflict with that of a previously approved center? 3) Is the cost of operating the center reasonable and appropriate? The Executive Committee shall give the Plenum the opportunity to rank targeted interest areas for new program centers.

Proposals submitted in response to a Program Center RFP will be reviewed and acted on by the UCEA Executive Committee at regularly scheduled Executive Committee meetings. Action on the proposal(s) may be taken in a regular meeting of the Executive Committee or by mail or electronic ballot. The UCEA Associate Director of Program Centers shall advise, in writing, those who submitted a program center proposal of the Executive Committee's action naming the host institution(s) within 30 working days of that action.

Proposal Information Requirements: While a response to a program center RFP need not be a lengthy document (typically 6-9 pages, plus supporting letters), each institution applying to host a UCEA Program Center must provide information relative to the following areas:

1. Purposes and work plans relating to the proposed center that include information as to (a) what the primary focus will be and what the center will do, (b) when the center will implement its plans over the initial 3-year hosting arrangement, (c) how the center will accomplish its stated purposes and (d) how the center will address the three strategic goals of UCEA: (e.g., 1) promoting, sponsoring and disseminating research on essential problems of practice, 2) improving the preparation and professional development of school leaders and professors, and 3) influencing policy and practice through establishing and fostering collaborative relationships).
2. Operational procedures relative to such matters as the composition and role of the center's advisory board, relationships with other universities, partnerships school districts, and/or education agencies/professional associations. All UCEA Program Centers must have a representative advisory committee, with the size of that board set by the Program Center Director(s) in consultation with the UCEA Associate Director of Program Centers. It is expected that a majority of the advisory board will be from UCEA member universities. Advisory board membership is subject to approval by the UCEA Executive Committee.
3. University, academic division, department, (or school district/agency) commitments, including provisions for staff and resource support (e.g., released time for professional and staff personnel, graduate assistants, monetary support, facilities, and equipment).
4. Qualifications and time commitment availability of the individual(s) who will have primary responsibilities for directing the center's activities.
5. Statements of institutional commitment regarding UCEA expectations for program centers relative to (a) the 3-year summative report for the center, (b) wide dissemination of center reports and products, for example, at the UCEA Annual Convention and UCEA website, as well as (c) appropriate inclusion of UCEA in any external funding proposals related to program center operations, as negotiated by the Program Center Director and the UCEA Executive Director.
6. Support letters from appropriate institutional officials. In the case of universities, letters from the department chair and dean are appropriate. Partnership districts might have the school superintendent and/or board president write such letters. Proposals involving state education agencies might include support letters from the chief executive officer of the state education agency or the state board of education president.
7. A copy of the complete set of Program Center Hosting proposal materials will be submitted to the Executive Committee, and the Program Center Advisory Board.

### ***VIII.C. UCEA Commitment of Support to the Program Centers (revised 11/10/05)***

UCEA is committed to assisting each approved program center in realizing its mission and in maximizing the contribution of each center to improving educational leadership knowledge and practice. UCEA support includes, but is not limited to, the following:

1. Consultative and coordination support provided by the UCEA Associate Director of Program Centers and the Program Center Advisory Board
2. Consultative visits to program center sites and active participation in program center conferences by a member of the Program Center Advisory Board and/or the UCEA Associate Director of Program Centers.
3. An annual meeting of all program center directors held in conjunction with the UCEA Annual Convention to explore center opportunities, propose changes in UCEA policies and procedures related to the centers, and explore collaborative ventures among centers. This meeting shall be convened and chaired by the UCEA Associate Director of Program Centers.

4. No-cost display spaces, support personnel, and equipment at the UCEA Annual Convention for each program center to display and disseminate its reports and products.
5. Program center directors are strongly encouraged to submit session proposals annually to the UCEA convention in order to present and discuss recent efforts of their respective program center as well as to encourage participation from others.
6. Proposals for competitive mini-grants of up to \$5,000 each fiscal year will be submitted to the UCEA Associate Director of Program Centers and the Program Center Advisory Board for evaluation and recommendation to the Executive Committee. UCEA will award up to two competitive mini-grants each fiscal year. The purpose of the grants is to assist established centers in research, facilitating conferences around the program center's focus, activities, and product and research dissemination. Mini-grant funds are to be used to cover direct costs associated with center activities. UCEA funds may not be used to pay indirect costs.

Competitive mini-grant proposals are due in the UCEA offices by April 15 of each year and must include the following: (a) purposes of the grant, (b) specific outcomes projected from the use of grant funds, and (c) a detailed budget. The UCEA Associate Director and members of the Program Center Advisory Board will evaluate the grant proposals and make funding recommendations to the Executive Committee. The Executive Committee will make mini-grant award decisions at its summer meeting and funds will be available for the following fiscal year, beginning July 1. A detailed report of uses of the funds and the results (reports, meetings, publications) must be submitted to the UCEA Associate Director of Program Centers by April 15 of the following year and Center Directors are required to develop an exhibit, session or paper on the research or event supported by the mini-grant for the annual UCEA Convention. Any center receiving mini-grant funds and not submitting the required report will not be eligible for grant support in subsequent funding cycles until the report is received and officially accepted by the Executive Director and Executive Committee.

7. Publication of program center events, activities, and lists of publications/products in issues of the *UCEA Review*. In addition, each program center will be featured at the UCEA Web site and Internet users will be able to connect directly with the center's home page.
8. Assistance to program centers in publishing, advertising, and distributing their projects, including possibilities for actual publication by UCEA, will be based on negotiations involving the Program Center Director(s) and the UCEA Executive Director. These negotiations will focus on not only the potential contributions of the proposed publication but also UCEA budget guidelines and UCEA publications policies, as established by the Plenum and the Executive Committee.
9. The use of the UCEA logo and organizational identification, with the written approval of the UCEA Executive Director, on/in program center letterhead stationary, program advertisements, publications, and external funding grant proposals.

#### **VIII.D. Reports and Summative Evaluations for UCEA Program Centers**

##### **First-Year Formative Review of Newly Established Program Centers (revised 11/10/05)**

At the end of the first year of operation of newly formed Program Centers, a formative review of the center's progress shall be completed by the program center director and submitted to the UCEA Associate Director of Program Centers and Program Center Advisory Board for review and recommendation to the UCEA Executive Committee. This formative review will include comments and recommendations for renewal of the center and will be submitted to the UCEA Executive Committee for formal action. The central purposes of this formative review are to: (a) determine the extent to which the intended purposes of the center have become operational; (b) ascertain the extent to which the center's resources, as set forth in the original proposal, have been allocated and how the non-competitive UCEA "start-up" mini-grant funds were used; and (c) determine if other provisions of the center's original proposal are at the appropriate stage of development, e.g., establishing an advisory board, identifying a network of individuals to participate in the center's work, and progress related to specific planned activities, such as workshops, seminars, and publications/products.

Procedure: By April 15 of a program center's initial year of operation, the Program Center Director(s) shall submit copies of a report (3-5 pages) addressing the three purpose points noted above to the UCEA Associate Director of Program Centers and members of the Program Center Advisory Board. Written formative feedback from the UCEA Executive Committee's decision will be provided to the center director(s) prior to the fall UCEA Annual Convention,

allowing for face-to-face discussions of the report and feedback in an informal meeting involving the center's director, the Associate Director of Program Centers during the convention.

If a program center is not productive, the Executive Committee may express concern, suggest ways for the center to overcome problems it is experiencing, or decide that the center should be discontinued. Program centers that are approved for a 3-year continuation cycle beyond the initial approval to host a center are required to submit formative review materials at the end of the first year of each new 3-year approval cycle.

### ***Third-Year Summative Review***

A summative review of each UCEA Program Center shall be completed near the end of each third year of a center's operation. The primary purpose of this review is to determine the success of the program center. This evaluation of the center's effectiveness, in relation to its stated goals and purposes, will be completed by the UCEA Associate Director of Program Centers and the UCEA Program Centers Advisory Board. Members of the UCEA Executive Committee shall receive a copy of the Program Center Advisory Committee's summative report and their conclusions and recommendations for Executive Committee action.

If the Program Center Advisory Committee's report indicates that the current host institution wishes to continue hosting the program center, and if the UCEA Executive Committee determines that (a) the target interest-area for the center remains timely, and (b) evidence from the summative review suggests the center has made acceptable progress toward meeting its goals, the Executive Committee will extend an invitation to the institution to host the center for another 3-year period. Other options include discontinuing the center or issuing an RFP inviting other UCEA institutions to apply to host the center.

If the Executive Committee determines that the target interest-area of the center is of sufficient interest and importance, an RFP may be issued for UCEA institutions to host other program centers with purposes related to the focus of the continuation center.

By April 15 of the third year of a program center's operations, copies of a summative report of the center's activities shall be filed with the UCEA Associate Director of Program Centers. The report should include, but is not limited to, the following:

1. Documentation of activities and products which provide evidence that the center has met, or made significant progress toward meeting, the center's stated goals (e.g., information about conferences held and participants in these meetings, publications/products list, information about involvement of faculty and others in the work of the center).
2. Documentation including reports, publications and other products associated with the center and how these address the three strategic goals of UCEA: (e.g., 1. Promoting, sponsoring and disseminating research on essential problems of practice. 2. Improving the preparation and professional development of school leaders and professors. 3. Influencing policy and practice through establishing and fostering collaborative relationships).
3. A list of the current membership of the program center's Advisory Committee.
4. Information about how any UCEA mini-grant funds, if any, have been used by the center.
5. Statements indicating (a) the perceived needs for a UCEA Program Center to continue to focus on the target interest-area of the center and (b) the institution's level of interest in continuing to host the program center.
6. If the institution seeks to continue to host the program center, the Program Center Director, on behalf of the Center's advisory committee, will submit a statement of center goals for the next three years and an illustrative list of planned activities and projected products for the center. In addition, letters of support should be included from the dean and department chair, indicating kinds and levels of institutional support that would be made available to the center over a new 3-year cycle.

The UCEA Executive Committee shall discuss the Program Center Advisory Board's summative reports and recommendations each year at its May/June meeting and take appropriate action in regard to (a) program center continuation or discontinuance, (b) RFPs for institutional hosting of program centers, (c) proposals submitted for UCEA mini-grant support of the centers, and (d) any recommendations made by the Executive Director, the Associate Director of Program Centers, the Program Center Advisory Board, and/or program center directors for changes in UCEA policies and procedures related to the program centers. The UCEA Associate Director of Program Centers in consultation with the

Executive Director shall inform all program center directors of Executive Committee actions within 30 days of the May/June meeting.

### ***VIII.E Related Policies and Procedures for Program Centers***

#### **Program Center Advisory Board (revised 11/1/01)**

Respecting the important symbiotic relationship of the Program Centers and UCEA, the rationale for the Program Center Advisory Board was developed around three themes: 1) better coordination of the work performed by the program centers and directors with the work and mission of UCEA; 2) facilitation of communication and knowledge of the work, needs, and objectives of the program centers with the governing and administrative bodies (e.g. Executive Committee and Plenum) of UCEA; and 3) empowerment and inclusion of Program Center Director representatives in the processes of consultation with the UCEA President and Executive Director, and participation in democratic decision-making in the evaluation and review of current program center policy. The Program Center Advisory Board (PCAB) serves in an advisory capacity to the UCEA Executive Committee and the Plenum. Functions of the PCAB include: updating current policy on the program centers, developing a rubric for evaluating mini-grant proposals, and reviewing existing program centers and proposals for new centers.

Membership on the PCAB includes up to 8 individuals from UCEA member institutions with a term of 3 years staggered. The Program Advisory Board will have at least 2 plenum members appointed by the UCEA Executive Director or Executive Committee, at least 1 member from the Executive Committee, and at least 2 Center Directors elected by other Center Directors. The UCEA Associate Director is responsible to chair the PABC and the UCEA Executive Director serves in an ex-officio capacity.

#### **Program Center Renewals (revised 11/9/04)**

Program Center Directors are permitted to lead a UCEA program center for a maximum of six years prior to sending out an RFP. Thus, institutions may host a center for a maximum of two three-year cycles without competition. At the conclusion of the second three-year cycle, the Executive Director and Executive Committee will determine to what extent the target interest-area of the center is of sufficient interest and importance, an RFP may be issued to all UCEA institutions to host the center. The current host is welcome to submit a proposal to continue hosting the center.

#### ***Departure of the Program Center Director(s) from the Host University***

If the director of a program center retires, is unable or unwilling to continue as director, or leaves the institution and is employed by a non-UCEA university, the center will remain with the original host if: (a) the original institution agrees to continuing as host, (b) the original host institution possesses the resources and appropriate leadership for continuing the center, and (c) it is within the six year time limit offered institutions to host program centers. If one or more of these conditions cannot be met, the Executive Committee will decide whether to request proposals for a new host institution or discontinue the program center.

If the director of a program center leaves the institution and is employed by a UCEA member university, the center will propose one of the following courses of action to the Executive Committee: (a) the center will remain with the original host and a replacement will be named for the center director, or (b) the center will move with the director. The latter option requires written statements to the Executive Committee by representatives of both the original host institution and the proposed new host institution indicating concurrence and, in the case of the new host, a statement indicating willingness and capacity to support the program center.

## **IX. Special Roles**

### **A. Convention Chair**

The tradition has evolved establishing the President Elect as the Convention Chair for the next year following his/her election. His/her responsibilities as Convention Chair include:

1. collaborating with the President and Executive Director on the appointment of program chair(s),
2. working with UCEA staff to ensure convention planning and implementation goes smoothly,
3. participating in planning of the annual convention and invited speaker selection,
4. helping to identify and attract convention sponsors,
5. acting as MC for one or more convention general sessions and taking on general ceremonial and other responsibilities.

### **B. PROGRAM CO-CHAIRS**

The Convention Program Co-Chairs are invited to serve in that capacity by the Convention Chair, in consultation with the President, Executive Director and with the advice of the Executive Committee. Responsibilities include:

1. attending the winter/spring planning meeting,
2. divising a theme for the convention, consistent with and advancing the mission of UCEA,
3. drafting a call for proposals to be included in the winter UCEA Review,
4. reviewing and understanding all procedures relative to issuance of requests for proposals, invitations to review proposals, review of proposals, and program organization,
4. identifying keynote speakers,
5. assigning proposals to reviewers,
6. deciding which proposals are to be accepted/rejected,
7. constructing and naming paper sessions and assigning chairs and discussants,
8. submitting to UCEA a completed "Session Matrix" for the convention program,
9. submitting to UCEA a report on the review process, acceptance rate, and a general evaluation of the system with suggestions for improvement,
10. introducing speakers at the convention itself.

## X. AWARDS

### X.A. Davis Award (Outstanding Article in EAQ)

1. An annual award will be made in William J. "Bill" Davis' name each year to the professor or practitioner in this or another country who is judged to have published the most outstanding piece of research in a volume year of the Educational Administration Quarterly.
2. The individual receiving the award will receive recognition in the form of a framed certificate or plaque.
3. The judgment about who should receive the award will be made by a committee appointed by the Editor of the Educational Administration Quarterly each spring.
4. The name of the recipient of the award will be published annually in the UCEA Review, and the Editor of the Educational Administration Quarterly will have the responsibility each year for informing the recipient of the award.
5. If feasible, the Editor and the UCEA Executive Director will make the award, preferably at a Plenary Session meeting or possibly at some other meeting such as AERA or NCPEA.
6. The UCEA Executive committee shall have the responsibility for establishing policy related to the management of Memorial Fund resources.
7. If feasible, the first recipient of the award will be chosen at the Editorial Board meeting of the Educational Administration Quarterly in 1980.
8. Suggestions Regarding Donations
  - a. Donations/contributions may be made any time.
  - b. Checks should be made to the "UCEA William Davis Memorial Fund," and should be sent to UCEA at its current address.

### X.B. Culbertson Award (Outstanding Contribution by Junior Professor)

1. At the discretion of the review committee, the Jack A. Culbertson Award is presented annually to an outstanding junior professor of educational administration in recognition of his/her contributions to the field.
2. Written nominations should include four copies of: (a) the work for which the professor is being nominated and a brief (1-2 page) description of how this work meets the award criteria, and (b) the nominee's vita. Submissions should total no more than 25 pages, including the nominating letter and vita. The letter of nomination must clearly state the contribution(s) to be evaluated and the support materials sent should pertain specifically to this contribution. Books and other costly materials will be returned on request, after the review committee completes its work. Individuals may be nominated more than once, provided they continue to meet the criteria.
3. Individuals nominated must have been professors for six years or fewer, and currently serve in a UCEA university. Contributions for which an individual may be nominated include, but are not limited to the following:
  - a. an innovation in training,
  - b. a published book,
  - c. instructional materials produced,
  - d. a new course or program developed,
  - e. a completed research project and/or other related project.
4. Criteria used in selecting the outstanding contribution are: (a) innovativeness, (b) originality, (c) generalizability, (d) potential impact, (e) relation to UCEA goals, (f) significance with respect to the training mission at the individual's institution, (g) degree of effort required to produce the contribution, and (h) extent of support for the effort provided by the candidate's employing institution.
5. The award will consist of a plaque and presentation ceremony.

### X.C. Campbell Award (Lifetime Achievement)

The Roald F. Campbell Lifetime Achievement Award was instituted by the UCEA in 1992 for the purpose of recognizing senior professors in the field of educational administration whose professional lives have been characterized by extraordinary commitment, excellence, leadership, productivity, generosity and service. At the same time, the award

celebrates the remarkable pioneering life of Roald F. Campbell, whose distinguished career spanned many years and exemplified these characteristics.

1. The criteria to be used in selecting the recipient include:
  - a. longtime distinguished service as teacher/researcher in the field of educational administration,
  - b. superior contributions to the field's body of knowledge,
  - c. recognized leadership efforts to improve the field, especially the preparation of educational administrators and/or professors of educational administration.
2. The following procedures will be utilized in making the award:
  - a. nominations, citing evidence responsive to the criteria, will be accepted from any source by March 15 of each year,
  - b. a subcommittee consisting of the President, President-elect, Past President, and Executive Director will review the nominations and make a recommendation to the Executive Committee,
  - c. the Executive Committee will act on the recommendation of the subcommittee, ordinarily at its spring meeting,
  - d. UCEA is not committed to making the award each year.
3. The award will consist of a plaque and presentation ceremony. Donations to a Campbell Fund will be used to defray costs of making the award. In lieu of such a fund, costs will be absorbed by the UCEA general fund. Should a Campbell Fund produce sufficient income, annual fund earnings may be used to defray travel expenses of recipients and the cost of the plaque.

#### **X.D. Paula Silver Award (Outstanding Case in JCEL)**

(Adopted 11/94)

1. An annual award will be made in Paula Silver's name each year to the professor or practitioner in this or another country who is judged to have published the most outstanding case study published in a volume year of the Journal of Cases in Educational Leadership.
2. The individual receiving the award will receive recognition in the form of a mounted silver bowl.
3. The judgment about who should receive the award will be made by a committee appointed by the Editor of the journal each spring.
4. The name of the recipient of the award will be published annually in the UCEA Review, and the Editor of the journal will have the responsibility each year for informing the recipient of the award.
5. If feasible, the Editor and/or the UCEA Executive Director will present the award during the UCEA Convention.
6. Moneys currently held in the "Silver Fund" are authorized to be used to support the UCEA Cases Initiative and the UCEA Paula Silver Award.

#### **X. E. Master Professor Award**

**(adopted 11/3/2004)**

The UCEA Master Professor Award was instituted by the UCEA in 2004 for the purpose of recognizing senior professors in the field of educational administration whose professional lives have been characterized by extraordinary commitment, leadership, teaching and service.

1. The criteria to be used in selecting the recipient include:
  - a. longtime distinguished service as leader in k-12 schools and/or higher education,
  - b. superior contributions as a professor, teacher and mentor in the field of educational administration,
  - c. recognized leadership efforts to improve the field, especially the preparation of educational administrators and/or professors of educational administration.
  - d. recognized commitment to diversifying the leadership field, both in k-12 schools and in higher education programs.
2. The following procedures will be utilized in making the award:

- a. nominations, citing evidence responsive to the criteria, will be accepted from any source by March 15 of each year,
  - b. a subcommittee selected by the President and Executive Director will review the nominations and make a recommendation to the Executive Committee,
  - c. the Executive Committee will act on the recommendation of the subcommittee,
  - d. UCEA is not committed to making the award each year.
3. The award will consist of a plaque and presentation ceremony. Donations to a Master Professor Fund will be used to defray costs of making the award. In lieu of such a fund, costs will be absorbed by the UCEA general fund. Should a Master Professor Fund produce sufficient income, annual fund earnings may be used to defray travel expenses of recipients and the cost of the plaque.

**X. F. The Jay D. Scribner Mentoring Award  
(Adopted 11/05)**

1. The Jay D. Scribner Mentoring Award will honor Educational Leadership faculty who have made a substantive contribution to the field by mentoring the next generation of students into roles as university research professors, while also recognizing the important role(s) mentors play in supporting and advising junior faculty. This award is to be named after Jay D. Scribner whose prolific career spans over four decades and who has mentored a host of doctoral students into the profession while advising and supporting countless junior professors throughout this same time. Of particular note, is Jay D. Scribner's unique ability to reach across racial, class, and gender differences in his mentorship—nurturing scholars from under-represented backgrounds into a profession largely homogeneous in composition.

Faculty from UCEA member institutions will be eligible for this award, including faculty belonging to partner member institutions. The proposed criteria for selecting recipients for this award include, but are not limited, to the following:

- mentoring and socializing doctoral students into the profession, particularly for future roles as university professors
- introducing students, especially from under-represented groups, to the broader network of scholars at UCEA and beyond
- mentoring, advising, and supporting junior professors in their trajectory toward tenure
- providing guidance, support, advice, friendship, reinforcement, encouragement, and/or constructive examples to others, which has had a positive impact on their understanding of academia writ large

**2. Nomination Process**

Nominations will be welcome from faculty member(s) of UCEA member institutions and partner institutions. Nominations should include a letter addressing the contributions of the nominee relative to one or more of the selection criteria. Support letters from individuals who have been directly mentored by the nominee, and/or individuals who can attest to the nominee's mentoring strengths, will be strongly encouraged.

A UCEA committee appointed by the Executive Director will review and evaluate the nominees. This committee will reserve the right to present this award to multiple candidates on any given year, or conversely, not to present this award should nominees not fully meet the selection criteria.

**3. Recognition at UCEA**

The individual(s) selected for the Jay D. Scribner Mentoring Award should be recognized for her/his/their contributions at a general session at the UCEA Annual Convention.

**X. G. The Edwin Bridges Contribution to Leadership Preparation Award  
(Adopted 11/12)**

1. The Edwin M. Bridges Award is given by UCEA annually for original, outstanding work in the area of research and/or development that contributes to our knowledge and understanding of how best to prepare and support future generations of educational leaders. Contributions can be in any of several forms including the design and evaluation of an innovative approach to leadership preparation, development of a research-based tool for use in leadership education, a conceptual or empirical research paper (i.e., publication or dissertation) that illuminates important issues, or a long-term, high impact program of research and development in this area.

2. Contributions will be judged on the extent to which the quality and originality of the effort suggest the potential to create a lasting impact on research and/or practice in this domain. As appropriate to the form of the contribution, UCEA will assist in its publication and/or other forms of dissemination to the profession.
3. Nominations are welcome from faculty member(s) of UCEA member institutions and partner institutions. Nominations should include electronic copies of the following:
  - the candidate's curriculum vitae;
  - a letter addressing the contributions of the nominee relative to one or more of the selection criteria;
  - support letters from individuals who have been directly mentored by the nominee, and/or individuals who can attest to the nominee's mentoring strengths, are strongly encouraged.
4. A UCEA committee appointed by the Executive Director will review and evaluate the nominees. This committee will reserve the right to present this award to multiple candidates on any given year, or conversely, not to present this award should nominees not fully meet the selection criteria.

#### **X.H. JRLE Best Paper Award (Adopted 11/09)**

1. An annual award will be made in to the author(s) in this or another country who is judged to have published the most outstanding study published in a volume year of the Journal of Research on Leadership Education.
2. The individual receiving the award will receive a tastefully designed award.
3. The judgment about who should receive the award will be made by a committee appointed by the Editor of the journal each winter.
4. The name of the recipient of the award will be published annually in the UCEA Review, and the Editor of the journal will have the responsibility each year for informing the recipient of the award.
5. If feasible, the Editor and/or the UCEA Executive Director will present the award during the UCEA Convention.

#### **X.I. THE UCEA EXCELLENCE IN EDUCATIONAL LEADERSHIP PREPARATION AWARD**

Quality leadership preparation is essential to quality leadership practice. Research reveals an important relationship between preparation and leaders' career outcomes, practices and school improvement efforts. Exemplary university-based educational leadership preparation programs have authentic, powerful and field-embedded learning experiences that connect research and theory with practice. To celebrate exemplary programs and encourage their development, UCEA has established an Award for Exemplary Educational Leadership Preparation. This award complements UCEA's core mission to advance the preparation and practice of educational leaders for the benefit of all children and schools.

1. This award will be made to programs within colleges, schools and department of education. For example, university-based programs preparing leaders to lead in elementary, middle or high schools, or programs focusing on the development of district level leadership are eligible for recognition. More than one program within a department, school or college of education may apply.
2. Contributions will be judged on the extent to which the program: 1) reflects current research on the features, content, and experiences associated with effective leadership preparation, and 2) has demonstrated evidence of program effectiveness. *The Handbook of Research on the Education of School Leaders* (Young, Crow, Murphy and Ogawa, 2009) addresses both of these criteria in depth. A UCEA Selection Committee made up of individuals with strong expertise in educational leadership preparation will review and evaluate the nominees.
3. Applications are welcome from university-based educational leadership programs that prepare K-12 leaders for practice in elementary, middle or high schools, or programs focusing on the development of district level leadership. More than one program within a department, school or college of education may apply. Applications must be submitted electronically, following published guidelines for both content information and file naming/formatting procedures.

#### **X.J. The UCEA Excellence in Educational Leadership Award**

The Executive Committee of the University Council for Educational Administration announces the establishment of an annual recognition for practicing school administrators who have made significant contributions to the improvement of administrator preparation. Each year, the UCEA Executive Committee will invite member university faculties to select a distinguished school administrator who has an exemplary record of supporting school administrator preparation efforts. This is an unusual award in that it affords national recognition, but the recipients are selected by individual universities, as are the circumstances surrounding the presentation. It provides a unique mechanism for UCEA universities to build good will and recognize the contributions of practitioners to the preparation of junior professionals.

1. A call for award recipients will be requested annually from member universities, normally by January 15. The UCEA Plenum Representative should consult her/his colleagues and other constituencies designated by faculty, to establish procedures leading to the identification of a worthy recipient at your university. Clearly, universities

may choose not to make an award every year. To nominate, by March 20 the Plenum Representative or Dean of the College of Education should send the following packet to UCEA (providing a vita and cover letter should accomplish the following):

- a. a brief description of the recipient's professional background,
  - b. information supporting the selection (why?),
  - c. (if the university wants UCEA to make a press announcement) stamped envelopes addressed to news agencies targeted by the Plenum Representative for disseminating the announcement. (The university may choose to coordinate this through its public relations office so that the announcement can include details about the presentation, etc.)
2. By April 15 of each year, the Executive Director provide the official UCEA certificates of recognition to universities who have designated a recipient. The UCEA staff will mail out press releases (if requested to); publish the names of recipients and their sponsoring UCEA university in the UCEA Review; and place recipients on the UCEA mailing list for one year.
  3. Plenum Representatives, or their designees at each conferring university, are responsible for making the award presentation at an annual departmental, college, or university ceremony.
  4. Funds to support this recognition were donated to UCEA by the Network of University Community School Districts, a consortium of school districts in university towns. The group is no longer functional.

#### **X.K. Service as President**

(adopted by the Executive Committee 11/3/83)

A plaque will be presented to the outgoing president at the annual UCEA Plenary Session following election of a new President-Elect and assumption of office by new president.

#### **X.L. Service as Executive Committee Member**

(adopted by the Executive Committee 11/3/83)

A certificate will be presented at the Plenum following the conclusion of an individual's term of office.

#### **X.M. UCEA Service Award**

A certificate, plaque or other appropriate award will be presented or announced for individuals who have made significant service contributions to UCEA (e.g., outgoing journal editors, associate directors, etc.).

### **XI. Co-Sponsored Activities**

#### **XI.A. Regional Graduate Student Seminars**

adopted by the Board of Trustees 11/7/68

In a policy statement concerning UCEA regional graduate student seminars, the following should guide seminar sponsorship, planning, resource allocation, and attendance:

1. Any university holding membership in the University Council for Educational Administration is eligible to request approval as a regional graduate student seminar sponsor.
2. At least six months prior to the date of the projected seminar, the university shall submit a statement through the UCEA Executive Director to the UCEA Executive Committee describing the title of the proposed seminar, the name or names of individuals responsible for developing and administering the seminar, a rationale for the programs, and a list of presentations to be made with the names of at least two prospective presenters for each topic.
3. The UCEA Board shall review and either approve or disapprove the seminar proposal. Such information shall be related to the initiating institution by the UCEA Executive Director.
4. The university co-sponsoring a regional graduate student seminar shall assume the primary responsibility for planning the seminar program. The UCEA Central Staff will serve on a consulting basis throughout the planning.

5. The host member university shall be responsible for all expenses, not otherwise specified, involved in planning and administering graduate student seminars including honoraria and related expenses involved in having papers prepared and presented.
6. The UCEA Central Staff shall be responsible for all mailings of invitations and for announcing the seminar in the UCEA Newsletter.
7. Attendance at a regional graduate student seminar should be limited to administrators, professors, and graduate students in UCEA member universities.
8. Member universities shall be responsible for all expense involved in sending representatives to the seminars.

**XI.B. Career Development Seminars**

adopted by Executive Committee 5/6/76

The university sponsoring a Career Development Seminar:

1. may invite those who have received doctorates from their institution regardless of their location or position;
2. may invite all or selected professors from non-member institutions;
3. shall assign higher priority to professors and graduate students from member institutions than to professors in non-member institutions;
4. shall assess professors from non-member institutions a fee beyond that assessed member professors;
5. shall establish differential fees for member and non-member institutions;
6. shall use the fees attained from non-member professors to support the Seminar.

**XI.C. Regional Consortia**

## XII. Financial

### Updated by the Plenum 10/14

#### A. Investments

##### 1. Investment principles

- (a) UCEA manages its investments in a manner intended to produce income, preserve the funds, and enhance their purchasing power to the maximum extent while using prudent financial methods and observing socially responsible investment guidelines appropriate to a socially just organization.
- (b) UCEA seeks companies and investments that promote socially useful goods, services, and economic activity.
- (c) Dividend income shall be reviewed on an annual basis and a determination made regarding its use to fund strategic initiatives identified by the Executive Director, adopted by the Executive Committee and approved by the Plenum.

##### 2. Investment authority

- (a) UCEA shall employ a professional fund manager to handle the investment portfolio in a manner consistent with the UCEA investment policy.
- (b) The Executive Director, with the approval of the Executive Committee, has the authority to change fund managers or accounts, as deemed necessary, to comply with the UCEA investment policy.
- (c) A standing UCEA Investment Advisory Committee shall consist of the UCEA Treasurer and other members appointed by the Executive Director.
- (d) The Executive Director and UCEA's Certified Public Accountant, who are the authorized signatories/account representatives on all Corporation bank and investment accounts, shall have the authority to execute the transfer of stocks, bonds or any other securities on behalf of UCEA in accordance with the investment policy.

##### 3) Investment priorities

- (a) UCEA shall maintain a balanced portfolio of moderate to high risk investments in order to generate annual dividends for strategic initiatives and moderate growth of principal as an endowment for the organization.
- (b) The specific investment objective shall be to equal or exceed a relative return of 3% plus the Consumer Price Index (CPI) over a market cycle of 4-5 years.

##### 4) Portfolio allocation guidelines

- (a) To achieve long-term, balanced growth, equities and bonds are considered allowable asset investments.
- (b) The following broad asset allocation parameters are identified as appropriate in order to meet the long-term investment goals of the fund:

ASSET	MINIMUM	STRATEGIC TARGET	MAXIMUM
EQUITIES	60%	70%	80%
BONDS	15%	25%	35%
CASH/CASH EQUIVALENTS	0%	5%	10%

- (c) Asset allocations shall be reviewed annually by the Investment Advisory Committee but are intended to remain unchanged for extended periods of time to ensure stable growth.

##### 5) Investment review procedures

- (a) To assure continued relevance of the guidelines, objectives, financial status and capital markets expectations as established in this statement of investment policy, the Investment Advisory Committee

shall review periodically the policy statement and make recommendations for changes as needed to the Executive Director for review, Executive Committee for adoption and Plenum for approval.

- (b) The review of investment results shall focus on adherence to investment policies and guidelines.
- (c) Performance reports shall be provided by the professional fund manager on a quarterly basis; performance reports shall be reviewed on a quarterly basis by the Investment Advisory Committee; and summaries of performance reports shall be communicated annually to the Executive Director, Executive Committee and the Plenum.
- (d) Investment managers shall be reviewed periodically regarding performance, personnel, strategy, research capabilities, organizational and business matters, and other qualitative factors that may impact their ability to achieve the desired investment results consistent with UCEA investment policy.
- (e) Distributions from dividend income shall be reviewed annually by the Executive Director and the Investment Advisory Committee for possible use to fund strategic initiatives. The distribution amounts will be drawn exclusively from dividend income and will not compromise the endowment.

## **B. Endowment Fund**

### **1. Principals**

- a. In 1984, the Plenum adopted the principle of an endowment fund.
- b. At least one years worth of resources should be accrued and maintained in cash reserves and or investments, to ensure UCEA's fiscal security.
- c. The Executive Director and Executive Committee, together, determine how endowment funds should be used in excess of the organization's operating budget reserve.
- d. The Executive Committee will protect the financial interests that now exist.
- e. The Executive Director has the authority to manage UCEA funds to maximize income.
- f. The Executive Director in cooperation with the Executive Committee will develop policies and procedures for the establishment and stabilizing of an endowment fund.

### **2. Use of Endowment Fund**

It is the intent of the Plenum to have the interest earned from the fund be available for UCEA operating purposes. The Executive Director and Executive Committee, together, determine how endowment funds should be used in excess of the organization's operating budget reserve, including reinvestment.

## **C. Standing Investment Committee**

adopted by the Executive Committee 7/24/93

- 1. UCEA shall have a standing investment advisory committee. This committee, co-chaired by the UCEA Treasurer, is to report annually to the Executive Committee and Plenum.
- 2. UCEA's agreement with a money management group (e.g., Merrill Lynch Consults), changes the function of the Investment Advisory Committee to review the money manager reports and make an annual evaluation report to the Plenum each year.

## **XII.B. Expenses Associated with UCEA Participation**

Expenses paid by UCEA

adopted by the Executive Committee 10/29/87

The subcommittee charged with the task of developing policy guidelines regarding the financial support for Executive Committee members during governance and convention activities recommended that the following expenses be paid by UCEA:

- 1. Flights and hotel for the President and President-Elect, during both governance and convention activities.

2. For all other Executive Committee members, flights, hotel and meals during governance activities (i.e. Executive Committee meetings and Plenum). In other words, with the exception of the President and President-Elect, Executive Committee members are expected to pay their own hotel and meal expenses during UCEA conventions.

**XI.C. Past President's Fund**

Establishment of Past Presidents' Fund

adopted by the Executive Committee 10/12/93

The Executive Committee authorizes a Past Presidents' Fund account and that disbursements from the account be initiated by the executive director with approval of the President, President-Elect and Immediate Past President.

**XII.D. Silver Fund**

Practitioner/Collaborator Recognition (\$5,000)

adopted by the Executive Committee 10/26/94

### XIII. Document Retention

#### Adopted 3/2017

The University Council for Educational Administration (UCEA) takes seriously its obligations to preserve information relating to litigation, finances, audits, and investigations.

The information listed in the table below is intended as a guideline and may not contain all the records UCEA may be required to keep in the future. Questions regarding the retention of documents not listed in this chart should be directed to the Executive Director or President of UCEA.

From time to time, the Executive Director or President of UCEA may issue a notice, known as a “legal hold,” suspending the destruction of records due to pending, threatened, or otherwise reasonably foreseeable litigation, audits, government investigations, or similar proceedings. No records specified in any legal hold may be destroyed, even if the scheduled destruction date has passed, until the legal hold is withdrawn in writing by the Executive Director or President.

Document Category	Item	Retention Period
<b>Corporate Records</b>	Bylaws and Articles of Incorporation	Permanent
	Corporate resolutions	Permanent
	Board and committee meeting agendas and minutes	Permanent
	Conflict-of-interest disclosure forms	7 years
<b>Finance and Administration</b>	Financial statements (audited)	7 years
	Auditor management letters	7 years
	Payroll records	7 years
	Check register and checks	7 years
	Bank deposits and statements	7 years
	Chart of accounts	7 years
	General ledgers and journals (includes bank reconciliations)	7 years
	Investment performance reports	7 years
	Charitable donation directives concerning the establishment of a restricted or temporarily restricted accounts	Permanent
	Equipment and Material Assets list	7 years
	Contracts and agreements	7 years after all obligations end
	Correspondence — general	3 years
	<b>Insurance Records</b>	Policies — occurrence type
Policies — claims-made type		Permanent
Accident reports		7 years
Claims (after settlement)		7 years
<b>Tax</b>	IRS exemption determination and related Correspondence	Permanent
	IRS Form 990s	7 years
	Charitable Organizations Registration Statements (filed with Minnesota Attorney	7 years

	General)	
<b>Human Resources</b>	Employee personnel files	Permanent
	Retirement plan benefits (plan descriptions, plan documents)	Permanent
	Employee handbooks	Permanent
	Workers comp claims (after settlement)	7 years
	Employee orientation and training materials	7 years after use ends
	Employment applications	3 years
	IRS Form I-9 (store separate from personnel file)	Greater of 1 year after end of service, or three years
	Withholding tax statements	7 years
	Timecards	3 years
<b>Technology</b>	Software licenses and support agreements	7 years after all obligations end

## **1. Paper Documents.**

If possible, all paper documents will be scanned and saved as pdf files. Documents will be named according to the UCEA file naming protocol and will be filed using the UCEA filing system to ensure easy document retrieval. If scanning is not an option, documents will be filed using the UCEA filing system to ensure easy document retrieval.

## **2. Electronic Documents and Records.**

Electronic documents will be retained as if they were paper documents. Therefore, any electronic files that fall into one of the document types on the above schedule will be maintained for the appropriate amount of time. If a user has sufficient reason to keep an e-mail message, the message should be saved as a pdf and filed using the UCEA filing system to ensure easy document retrieval. Backup and recovery methods will be tested on a regular basis.

## **3. Emergency Planning.**

The Organization's records will be stored in a safe, secure, and accessible manner. Documents and financial files that are essential to keeping the Organization operating in an emergency will be duplicated or backed up at least every week and maintained off-site.

## **4. Document Destruction.**

The Executive Director is responsible for the ongoing process of identifying its records, which have met the required retention period, and overseeing their destruction. Destruction of financial and personnel-related documents will be accomplished by shredding.

Document destruction will be suspended immediately, upon any indication of an official investigation or when a lawsuit is filed or appears imminent. Destruction will be reinstated upon conclusion of the investigation.

## **5. Compliance.**

Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against the Organization and its employees and possible disciplinary action against responsible individuals. The Executive Director and President will periodically review these procedures with legal counsel or the organization's certified public accountant to ensure that they are in compliance with new or revised regulations.

#### XIV. Public Positions

Policy of Public Positions  
adopted by the Plenum 10/25/89

1. Whereas the University Council for Educational Administration (UCEA) is a self-governing, voluntary association comprised of public and private member universities which have satisfied UCEA membership criteria, as determined through a process of peer review, and which contribute to the support of the association through payment of membership dues, and ...
2. Whereas governance of UCEA resides with the Plenary Session (consisting of duly designated representative of member institutions) and the Executive Committee (consisting of members duly elected by and from the ranks of the Plenary Session) and governance decisions made by these bodies are carried out by the President and Executive Director, and ...
3. Whereas the established mission of UCEA is to advance the field of Educational Administration through inter-institutional cooperation, communication, and professional contributions focused primarily on improving administrator preparation, scholarship, and practice, and...
4. Whereas UCEA has traditionally been able to carry out its mission responsibly, successfully, and with credibility—through a variety of avenues for inter-institutional cooperation and established mechanisms for governance—without a predisposition or a compelling need to take formal positions or make public statements on educational issues or events that positions or make public statements on educational issues or events that are within the purview of the field of Educational Administration, and...
5. Whereas many of the critical educational issues which are in the purview of the field have become increasingly politicized and the future of Educational Administration as a field of study and practice has become, perhaps irreversibly, politically entailed, and ...
6. Whereas UCEA's ability to carry out its mission responsibly, successfully, and with credibility has become increasingly dependent upon its ability to participate effectively in shaping educational agendas and action — by working cooperatively with others in and outside the political arena, by taking positions and making timely, public statements of position on important issues and events, and by contributing professional expertise ...
7. Be it therefore resolved:
  - a. That the Plenary Session of UCEA recognizes that there may be occasions when it is appropriate or necessary for UCEA to take positions or to make public statements of position on issues or events within the purview of the field of Educational Administration, and ...
  - b. That both the Plenary Session and the Executive Committee shall therefore endeavor to make timely decisions and take those actions which appear necessary to enable UCEA to carry out its mission to advance the field of Educational Administration responsibly, successfully, and with credibility in the emerging political contexts for education, and ...
  - c. That when circumstances or the available time permit a longer, more deliberative decision making process, the Plenary Session shall ordinarily represent UCEA as an association following established UCEA governance procedures—by deciding whether or not UCEA should take a position on a particular educational issue or event and what position should be taken and publicized, and...
  - d. That, conversely, when the urgency of the occasion or the available time require an immediate or shorter decision making process, the Executive Committee shall ordinarily make appropriate representation on its own behalf by consulting with Plenary Session members as feasible and then making decisions and taking and publicizing positions that it deems appropriate and necessary, and...
  - e. That the President and Executive Director of UCEA shall be the duly authorized representatives of the association with authority to speak in these matters for the Plenary Session and the Executive Committee, and ...
9. Be it further resolved that the President and Executive Director of UCEA shall be charged with providing leadership for the association with respect to these matters and with communicating with member institutions in a timely fashion about pertinent decisions and actions taken by either the UCEA Plenary Session or Executive Committee.

## XV. Organizational Code of Ethics

### 1. Statement of Values

As a public non-profit organization UCEA values:

- And supports the public good.
- Its commitment to uphold the law.
- And respects of the worth and dignity of individuals.
- Inclusivity and social justice.
- And respects pluralism and diversity.
- Transparency, integrity, and honesty.
- Responsible stewardship of resources and commitment to excellence and to maintaining the public trust.

All staff, board members, and volunteers of the organization act with honesty, integrity, and openness in all their dealings as representatives of the organization. The organization promotes a working environment that values respect, fairness, and integrity.

### 2. Organization Mission

The organization has a clearly stated mission and purpose, approved by the governing body, in pursuit of the public good. All of its programs support that mission and all who work for or on behalf of the organization understand and are loyal to that mission and purpose. The mission is responsive to the constituency and communities served by the organization and of value to society at large.

### 3. Governing Body

The organization has an active governing body that is responsible for setting the mission and strategic direction of the organization and for the oversight of the finances, operations, and policies of the organization. The governing body:

- Ensures that its board members have the requisite skills and experience to carry out their duties, and that all members understand and fulfill their governance duties acting for the benefit of the organization and its public purpose.
- Has a conflict-of-interest policy that ensures that any conflicts of interest or the appearance thereof are avoided or appropriately managed through disclosure of or other means.
- Is responsible for hiring, firing, and regular review of the performance of the executive, and ensures that compensation of the executive is reasonable and appropriate.
- Ensures that the organization conducts all transactions and dealings with integrity and honesty.
- Ensures that the organization promotes working relationships with board members, staff, volunteers, and program beneficiaries that are based on mutual respect, fairness, and openness.
- Ensures that the organization is fair and inclusive in its hiring and promotion policies and practices for all board, staff, and volunteer positions.
- Ensures that policies of the organization are in writing, clearly articulated, and officially adopted.
- Ensures that the resources of the organization are responsibly and prudently managed.
- Ensures that the organization has the capacity to carry out its programs effectively.
- The organization is knowledgeable of and complies with all laws, regulations, and applicable international conventions.

### 4. Fund Management

The organization manages its funds responsibly and prudently with the following considerations:

- It spends a reasonable percentage of its annual budget on programs in pursuance of its mission.
- It spends an adequate amount on administrative expenses to ensure effective accounting systems, internal controls, competent staff, and other expenditures critical to professional management.
- The organization compensates staff reasonably and appropriately.
- It spends a reasonable percentage of its annual budget on fundraising costs, recognizing the variety of factors that affect fundraising costs.
- The organization does not accumulate operating funds excessively.
- The organization prudently draws from endowment funds consistent with donor intent and to support the public purpose of the organization.
- The organization ensures that all spending practices and policies are fair, reasonable, and appropriate to fulfill the mission of the organization.

- All financial reports are factually accurate and complete in all material respect.

#### 5. Public Information

The organization provides comprehensive and timely information to the public, the media, and all stakeholders and is responsive in a timely manner to reasonable requests for information. All information about the organization will fully and honestly reflect the policies and practices of the organization. Basic informational data about the organization, such as the Form 990 and audited financial statements will be available to the public. All solicitation materials accurately represent the organization's policies and practices and will reflect the dignity of program beneficiaries. All financial, organizational, and program reports will be complete and accurate in all material respects.

#### 6. Program Effectiveness

The organization regularly reviews program effectiveness and has mechanisms to incorporate lessons learned into future programs. The organization is committed to improving program and organizational effectiveness and develops mechanism to promote learning from its activities and the field. The organization is responsive to changes in its field of activity and is responsive to the needs of its constituencies.

#### 7. Staff Makeup

The organization has a policy of promoting inclusiveness, and its staff board, and volunteers reflect diversity in order to enrich its programmatic effectiveness. The organization takes meaningful steps to promote inclusiveness in its hiring, retention, promotion, board recruitment, and constituencies served within the policies of the organization.

#### 8. Raising Funds

The organization is truthful in its solicitation materials. The organization respects the privacy concerns of individual donors and expends funds consistent with donor intent. The organization disclosed important and relevant information to potential donors. In raising funds from the public, the organization will respect the rights of the donors, all follows:

- To be informed of the mission of the organization, the way the resources will be used, and their capacity to use donations effectively for their intended purposes.
- To be informed of the identity of those serving the organization's executive board and to expect the board to exercise prudent judgment in its stewardship responsibilities.
- To have access to the organization's most recent financial reports.
- To be insured their gifts will be used for the purposes for which they were given.
- To receive appropriate acknowledgement and recognition.
- To be assured that information about their donations is handled with respect and with confidentiality to the extent provided by the law.
- To expect that all relationships with individuals representing organizations of interest to the donor will be professional in nature.
- To be informed whether those seeking donations are volunteers, employees of the organization, or hired solicitors.
- To have the opportunity for their names to be deleted from mailing lists.
- To feel free to ask questions when making a donation and receive prompt, truthful, and forthright answers.
- To refuse donations.