

IMPLEMENTATION PROVISIONS

- The provisions of this policy concerning tenure and promotion to associate professor shall apply only to probationary faculty members with no more than three years of full-time, tenure-track academic service recognized by Sam Houston State University by September 2, 2003.
- Upon its adoption, the provisions of this policy concerning promotion from associate professor to full professor shall apply immediately.
- Only faculty members hired prior to academic year 2001 may be considered for tenure without being considered for promotion. Faculty members hired prior to academic year 2004 may request exceptions from this new policy if there are extenuating circumstances. Faculty members hired as assistant professors after the academic year 2004 must be considered for promotion to associate professor and tenure at the same time.
- Since this academic policy statement (APS) replaces APS 900417 on tenure but only a part of APS 800722 on promotion and merit pay, APS 800722 must be amended accordingly.

1. THE BOARD OF REGENTS

- 1.01 Policies concerning reappointment, tenure, and promotion in The Texas State University System are set forth in the *Rules and Regulations* [http://www.shsu.edu/~pre_www/tsus/] of the Board of Regents, The Texas State University System, which body will be referred to as “the Board of Regents” in the remainder of this document. In any case of contradiction between this policy and the Board of Regents’ *Rules and Regulations*, the Board of Regents’ *Rules and Regulations* prevails.
- 1.02 Exceptions to the policies and procedures set forth herein may be authorized only by the President of the University.
- 1.03 Authority to approve reappointment, tenure, or promotion rests with the President, subject to the approval of the Board of Regents.

2. GENERAL PROVISIONS

- 2.01 Tenure. Tenure is the most important decision a university makes with regard to its faculty, and the quality of tenure decisions over the years determines in large measure the quality of the university. Tenure denotes a status of continuing appointment as a member of the faculty at Sam Houston State University. It is not granted automatically or on the basis of seniority. Tenure is granted to faculty, after a rigorous probationary period, on the basis of meritorious performance in teaching, research, and service. “However, tenure does not create a property interest in any attributes of the faculty position beyond the annual salary. By way of example only, tenure does not create a property interest in laboratory space, a particular office, the right to teach graduate students, or use of research materials or equipment” (see Texas State University System, *Rules and Regulations*, Chapter V, Subsection 4.21). Tenure ensures academic freedom and protects faculty from inappropriate retribution. It allows faculty to take a long-term approach to their work while still requiring faculty accountability. It assists in attracting and keeping excellent faculty and promotes the orderly induction of new faculty into the community of mature scholars.
- 2.02 Promotion. Promotion is granted as recognition of sustained, high-quality performance, combined with efforts at continuous improvement. It also does not come automatically or with length of service. A faculty member normally establishes eligibility for consideration for promotion upon the completion of five and one-half years in a tenure-track position or in the rank of associate professor. On rare occasions, truly outstanding faculty may be considered prior to this time. Nominations for consideration for promotion shall be addressed to the Department Promotion and Tenure Advisory Committee (DPTAC) in any of three ways: (1) by the faculty member herself/himself, (2) by another faculty member, or (3) by the department chair. (Note: For composition of the DPTAC, see Section 7 below and see Section 4.02 for a definition of the term “department chair” in this policy statement.)
- 2.03 Discretionary Nature of Promotion. “The academic promotion of a faculty member is discretionary on the part of the President of the Component, the Chancellor and the Board of Regents. Faculty members do not have an entitlement to a prospective promotion rising to the level of a property interest; and, the denial of a prospective promotion is not sufficiently stigmatic to constitute a liberty interest. No commitments, implied or otherwise, shall

be made by any individual regarding faculty promotions without the prior written approval of the President, and all faculty promotions shall be subject to the approval of the Chancellor and Board of Regents. Faculty members who are not recommended for promotion shall not be entitled to a statement of reasons for the decision against the recommendation. However, supervisors are encouraged to offer suggestions for a program of professional development in teaching, scholarly or creative work, and leadership or service that may enhance the likelihood of promotion in the future” (see Texas State University System, *Rules and Regulations*, Chapter V, Subsection 4.31).

- 2.04 Only members of the faculty with the academic rank of associate professor or professor may be granted tenure. Tenure and promotion from assistant professor to associate professor are linked at Sam Houston State University. A faculty member cannot be promoted to the rank of associate professor without a concomitant award of tenure. Tenure may be granted at the time of appointment to an academic rank of associate professor or professor, or initially tenure may be withheld pending satisfactory completion of a probationary period of faculty service.

3. THE ACADEMIC RANKS

- 3.01 Sam Houston State University shall utilize the following academic ranks for tenure-track and tenured faculty: instructor, assistant professor, associate professor, professor, and distinguished professor. The terminal degree or special credentials are required for all tenure-track ranks except instructor.

3.02 Terminal Degrees and Special Credentials

- a. The term “special credentials” as used in this policy shall be defined to include the Certified Public Accountant license and other special credentials, insofar as these signify generally recognized levels of achievement, competence, and experience specifically applicable to particular academic fields.
- b. The term “terminal degree” as used in this document shall be defined as the highest academic degree customarily awarded in the field of study. This term may include the Master of Fine Arts, the Doctor of Jurisprudence, the Master of Social Work, and the Master of Library

Science from a library school program accredited by the American Library Association.

- 3.03 Sam Houston State University shall utilize the following academic rank designations for interim, non-tenure track faculty: Affiliated Faculty, Adjunct Faculty, Clinical Faculty, Lecturer-Pool Faculty, Lecturer-Special Faculty, Lecturer, Research Faculty, Visiting Assistant Professor, Visiting Associate Professor, and Visiting Professor. These academic rank designations shall not be assigned to faculty in tenure-track positions.

4. GENERAL PROCEDURAL GUIDELINES

- 4.01 For purposes of tenure, the term “tenure unit” is defined as the faculty of a college which is not divided into smaller units, or of a department, or of an officially designated program or group of programs within a department, or of the Newton Gresham Library, who share in the obligations, rights, and protections of tenure within their discipline(s). The designated tenure units, within the present administrative structure at Sam Houston State University, are those listed below. This list may not be revised without the approval of the tenured faculty of the unit(s) involved in the proposed revision.

Tenure Units in the College of Arts and Sciences

Agricultural Sciences
Art and Photography
Biology/Environmental Science
Chemistry
Computer Science
Geography
Geology
Mathematics and Statistics
Music
Physics
Technology
Theatre and Dance

Tenure Units in the College of Business Administration

Accounting
Economics and International Business
General Business and Finance

Management and Marketing

Tenure Units in the College of Education

Curriculum and Instruction
Educational Leadership and Counseling
Health and Kinesiology
Language, Literacy and Special Populations
Library Science

Tenure Units in the College of Humanities and Social Sciences

English
Family and Consumer Sciences
Foreign Languages
History
Mass Communication
Philosophy
Political Science
Psychology
Sociology
Speech Communication

The College of Criminal Justice is a tenure unit.

The Newton Gresham Library is a tenure unit.

- 4.02 For ease of reference in the remainder of this document, the term “department” refers to each of the tenure units listed in section 4.01 above. Furthermore, the term “department chair” refers to the relevant administrative official, whether that person is the chair of the department/school within which the tenure unit is located, the Director of the Newton Gresham Library, or the Associate Dean of Faculty in the College of Criminal Justice.
- 4.03 Years of service as tenure-track probationary faculty. Only full-time service in the academic ranks of Professor, Associate Professor, Assistant Professor, Instructor, or any combination thereof shall be counted toward fulfillment of a required probationary period related to the award of tenure. Periods during which a faculty member is on leave of absence shall not be counted toward fulfillment of a required probationary period.

- 4.04 Calculating years of service. For purposes of calculating the period of probationary service, an “academic year” shall be the approximate nine-month period from September through May. If a faculty member is initially appointed during an academic year, the period of service from the date of appointment until the beginning of the following academic year shall not be counted as academic service toward fulfillment of the maximum probationary period.
- 4.05 Prior service credit. At the discretion of Sam Houston State University, prior service of up to three years at another university may be counted toward fulfillment of the required probationary period for tenure and promotion.
- 4.06 Maximum probationary service and the duty of the University to give notice. The maximum period of probationary faculty service at Sam Houston State University in tenure-track status in any academic rank or combination of the academic ranks of instructor, assistant professor, associate professor, or professor shall not exceed six years of full-time academic service unless an extension is granted. Not later than August 31 of the last academic year of the maximum probationary period in effect, a tenure-track faculty member shall be given written notice that the subsequent academic year will be the terminal year of employment or that, beginning with the subsequent academic year, tenure will be granted.
- 4.07 Extension of the Maximum Probationary Period
 - 4.071 Personal circumstances may justify the extension of the maximum probationary period not to exceed a seven-year period. It is the responsibility of the faculty member to provide appropriate documentation to demonstrate sufficiently why the request should be granted.
 - 4.072 The department chair will provide his/her recommendation concerning the request for an extension of the maximum probationary period to the dean within five working days from receipt of the request.
 - 4.073 The dean will provide his/her recommendation concerning the request for an extension of the maximum probationary period to the Provost and Vice President for Academic Affairs within five

working days from receipt of the department chair's recommendation.

- 4.074 The decision regarding the request for an extension of the maximum probationary period shall be made by the Provost and Vice President for Academic Affairs within five working days from the date of receipt of the dean's recommendation.
- 4.08 Employment continuance for non-tenured faculty. All faculty appointments are subject to the approval of the Board of Regents. The University's commitment to employ a probationary or nontenured faculty member is limited to the term specified in the faculty member's contract for that appointment period. Any commitment to employ a nontenured member of the faculty beyond the period of current appointment shall have no force and effect until approved by the Board of Regents.
- 4.09 No conflicting appointments. A person appointed to a faculty position with the rank of instructor, assistant professor, associate professor, or professor at Sam Houston State University may not, during the term of such appointment, hold a tenured or tenure-track position on the faculty of another educational institution. Appointments at Sam Houston State University to the above-specified ranks shall be conditional upon the appointee's having resigned any tenured position that the appointee may then hold on the faculty of another educational institution. The resignation must be effective prior to the effective date of the appointment at Sam Houston State University; otherwise, such appointment shall be void and of no effect. The acceptance of an appointment to a tenured or tenure-track position on the faculty of an educational institution outside Sam Houston State University shall be considered as a resignation of any faculty position with the rank of instructor, assistant professor, associate professor, or professor that such appointee may hold at Sam Houston State University.
- 4.10 Written notice of nonreappointment and denial of tenure. Written notice of a decision not to reappoint will be given to a tenure-track faculty member no later than March 1 of the first or not later than December 15 of the second academic year of probationary service. After two or more academic years, written notice shall be given not later than August 31 that the subsequent academic year will be the terminal year of appointment. The notice required

by this section is not applicable where termination of employment is for good cause or for faculty members who are appointed on a term basis.

- 4.11 Reappointment and award of tenure. Reappointment of nontenured members of the faculty to a succeeding academic year or the award of tenure shall be accomplished only upon the President's written recommendation and the Board of Regents' approval.
- 4.12 All faculty members shall keep the President or his/her designee notified of their current mailing addresses.

5. CATEGORIES AND STANDARDS OF PERFORMANCE

- 5.01 Recommendations for reappointment, tenure, and/or promotion should consider the following categories and standards of performance.

- a. Categories of Performance

- (1) Teaching: This category includes, among other things, classroom and laboratory instruction; development of new courses, laboratories, and teaching methods; publication of and/or development of electronic instructional materials; academic advising; and supervision of undergraduate and graduate students.
- (2) Scholarly and/or Creative Accomplishment: For most disciplines, this category consists of research and publication. For some disciplines, however, it may include other forms of creative works and activities, such as instructional technology, poetry, painting, musical performance or composition, and sculpture.
- (3) Service: This category includes service to students, colleagues, program, department, school, college, and the university; administrative and committee service; and service beyond the university to the profession, community, state and nation, including academic or professionally-related public service.
- (4) Collegiality: This category addresses the faculty member's ability to function as an effective professional in accomplishing the goals of the tenure unit and the University.

- (5) Meeting of the above criteria, especially the first three, does not guarantee or confer an entitlement to tenure and/or promotion.
- (6) For special evaluative criteria pertaining to faculty members who are librarians, see Academic Policy Statement 810814, "Tenets for Academic Status for Professional Librarians."

b. Standards of Performance

To be recommended for an award of tenure and/or promotion, an applicant must document a sustained pattern of professional competence and effectiveness in each of the categories of performance listed in Section 5.01 A. In addition, the applicant should have a clearly developed, ongoing strategy for sustaining the life of the mind throughout his/her career.

(1) Associate Professor:

- sustained effective teaching and mentoring of students as documented by student evaluations and peer and chair review and/or by an exemplary record of academic advisement, supervision of student research, or thesis/dissertation direction, as appropriate for the discipline
- sustained contribution to program support, such as course and curriculum development, innovations in teaching methodology, electronic instruction development, or participation in interdisciplinary academic programs
- participation in professional development activities to update skills or to gain new expertise
- sustained pattern of peer-reviewed research, creative activities, or scholarly work that contributes to her/his discipline; evidence of growth in quality/significance of scholarly or creative contributions
- sustained, documented service to the University, profession, or community, as appropriate for the discipline

- demonstrated collegiality and effectiveness as a contributing member in accomplishing the goals of the department/college/University.

(2) Professor

- sustained, effective teaching and mentoring of students as documented by student evaluations and peer and chair review and/or by an exemplary record of academic advisement, supervision of student research, or thesis/dissertation direction, as appropriate for the discipline since the last promotion
- leadership in program support, such as course and curriculum development, innovations in teaching methodology, electronic instruction development, participation in interdisciplinary programs, or mentoring of less-experienced faculty
- participation in professional development activities to update skills or to gain new expertise
- leadership in peer-reviewed research, grantsmanship, creative activities, or scholarly work that contributes to his/her discipline; evidence of growth in quality/significance of scholarly or creative contributions; sustained contribution to the intellectual culture of the University
- sustained, documented leadership in service to the University, profession, or community, as appropriate for the discipline
- demonstrated collegiality and leadership in accomplishing the goals of the department/college/University.

5.02 Faculty applicants for tenure and promotion are evaluated based on accomplishments for each of the four categories of performance. The weight given to each of the four categories may be determined by department and college tenure and promotion documents; however, greater weight shall be given to teaching and creative or scholarly activities than to service or collegiality. Successful performance in any or all of such categories does not guarantee or entitle the applicant to tenure and/or promotion.

- 5.03 All recommendations for reappointment, tenure, and/or promotion or assessment of progress toward such shall be based on the above categories and standards. Department- and college-specific requirements relating to these categories and standards must be approved by the Provost and Vice President for Academic Affairs. Although these documents will be provided to the faculty member at the outset of employment in a tenure track position, it is the faculty member's responsibility to know these criteria.

6. FACULTY REVIEW PORTFOLIO

- 6.01 For a faculty member to be considered for promotion and/or tenure, the faculty member must prepare a Faculty Review Portfolio. The Faculty Review Portfolio may contain any information or materials that the individual deems pertinent for consideration. The department/school chair and college dean may, on behalf of the University, place in the portfolio file any additional information that may be pertinent to the faculty member's status.
- 6.02 For a faculty member to have an application considered for promotion and/or tenure, the Faculty Review Portfolio must contain a complete record of accomplishments that is organized under the following headings:
- a. Curriculum vita including at least:
 - (1) Academic training
 - (2) Summary of work experience
 - (3) Scholarly and creative contributions (juried contributions must be listed separately)
 - (4) Funded grants (external and institutional grants must be listed separately)
 - (5) Honors, awards, and other special recognitions
 - b. Significant professional service
 - c. Documentation of teaching performance utilizing summaries of student evaluations

- d. Any further documentation that clarifies achievements in other sections or includes other material supporting promotion or tenure

(Note: Copies of publications and/or other materials mentioned in the Faculty Review Portfolio are not required when the portfolio is submitted. However, each candidate must be prepared to provide any committee or administrator involved in the promotion and tenure review process with supporting documentation upon request.)

7. DEPARTMENT PROMOTION AND TENURE ADVISORY COMMITTEE (DPTAC)

- 7.01 The DPTAC shall be an advisory body composed ordinarily of all of the tenured faculty members appointed in the tenure unit. The dean shall appoint the chair for this committee.
- 7.02 If the DPTAC, when constituted in accordance with section 7.01, has three or fewer tenured members, then the department chair and either (a) the probationary faculty member or (b) the person to be considered for promotion shall submit to the dean a list of three names of tenured faculty members from other tenure units who are qualified to serve on the DPTAC. The nominations should be accompanied by documentation of the nominees' relevant qualifications. The dean shall appoint members from these lists until there are at least four members of the DPTAC. The dean shall also appoint the chair for this committee. If the need arises to replace a member of the DPTAC, the dean shall follow the same procedure.
- 7.03 With regard to the DPTAC formed as a result of 7.02, in the case of a probationary faculty member, the members of the DPTAC should be appointed to review the performance of the probationary faculty member every year beginning with the second year of employment and continuing until a final recommendation concerning tenure is made. In the case of promotions, the members of the DPTAC should be appointed to review the performance of the faculty member every year beginning with the second year after the previous promotion and continuing until a final recommendation concerning promotion is made.
- 7.04 The full DPTAC shall limit its recommendations to tenure decisions. Decisions about promotion should be made by all members of the DPTAC

holding at least the rank for which the candidate is being considered for promotion. All votes by the committee shall be done by secret ballot. A separate record of the vote count for tenure and/or promotion from the DPTAC members shall be transmitted to the appropriate administrator and to the Standing Faculty Tenure Committee.

- 7.05 In addition to annual reviews, an extensive review shall be conducted during the spring semester of the faculty member's third academic year of probationary service by the DPTAC, as well as the department chair and dean. The review should include an indication of the degree of consensus of the DPTAC, in the form of a preview vote, regarding the probationer's progress toward tenure. The general result (whether the majority vote was favorable or not favorable) should be reported to the probationer by the department chair and dean. A written summary of the DPTAC's assessment and the department chair's review shall be kept in the probationer's tenure file.

8. REVIEW OF PROBATIONARY FACULTY

- 8.01 Formative review of faculty is an ongoing process. A faculty member in the first year of probationary service as an instructor, assistant professor, or nontenured associate professor is reviewed by the department chair based on the performance categories outlined above. If the progress of the faculty member toward meeting the required standards of performance is judged to be insufficient, the chair may notify the faculty member of his/her nonreappointment.
- 8.02 If the progress of the faculty member toward meeting the standards of performance required for eligibility for tenure and/or promotion to assistant or associate professor is judged to be inadequate the dean shall make a decision and, if a faculty member is not to be renewed, notify the faculty member in writing.
- 8.03 If the performance of the faculty member is judged to be satisfactory to continue in probationary status, the department chair will discuss the results of the review with the faculty member and provide her/him with a copy of the written report.
- 8.04 At Sam Houston State University the title of instructor denotes a tenure-track probationary appointment and is used to appoint a faculty member who is near

completion but does not have the terminal degree in his/her area. The maximum period that may be served in the rank of instructor is two years. In unusual circumstances, a petition for a one-year extension may be made by the probationary faculty member to the Provost and Vice President for Academic Affairs. This three-year limit does not apply to existing tenured instructors at the time of the policy's approval. Recommendations for promotion to assistant professor will be made at the earliest opportunity for consideration by the Board of Regents, The Texas State University System, when a faculty member serving in an instructor position has completed all requirements for the terminal degree. Otherwise, during an instructor's second year of service, the department/school chair shall notify the instructor in writing not later than thirty days prior to the end of the current academic year that the subsequent year will be the terminal academic year of appointment. Notice is not required where termination of employment is for good cause or program reduction or abandonment.

9. ELIGIBILITY FOR COMMITTEE SERVICE

Department/school chairs, deans, and vice presidents are not eligible to serve on the DPTAC.

10. APPOINTMENTS OF PROFESSORS

Special appointments to the rank of professor may be with tenure except when the appointment is that of visiting professor, which is a nontenure-track rank.

11. REVIEW TIMETABLE AND PROCEDURES

The individual faculty member is responsible for preparing and submitting all materials to be considered for promotion and tenure. The review process and the approximate annual timetable for the review procedure are as follows:

a. By second Monday in October

Prior to the first Monday, deans will receive a list from the Provost's office of all faculty members who are eligible for either promotion and/or tenure. By the second Monday in October, the respective chairs will notify each faculty member who is eligible for consideration for promotion and/or tenure. Individual faculty members who are not notified may also choose to apply; these faculty members

must meet the same standards of performance as those who are notified by their chair.

b. By first Monday in February

Each individual faculty member who intends to be considered for promotion and/or tenure must submit a complete Faculty Review Portfolio to the chairperson of the Department Promotion and Tenure Advisory Committee (DPTAC).

c. By second Monday in February

The chairperson of the DPTAC will submit the recommendations of the committee to the department chair. Each Faculty Review Portfolio must be forwarded with a separate recommendation for or against promotion and/or tenure. The recommendation must include a tally of the vote of the committee in terms of the number of votes in favor and against. This recommendation becomes part of the Faculty Review Portfolio.

d. By third Monday in February

The department chair will forward each Faculty Review Portfolio with a recommendation for or against promotion and/or tenure to the dean. A separate recommendation letter must accompany each portfolio. This recommendation becomes part of the Faculty Review Portfolio.

e. By first Monday in March

The dean will forward each Faculty Review Portfolio with a recommendation for or against promotion and/or tenure to the Provost and Vice President for Academic Affairs. This recommendation becomes part of the Faculty Review Portfolio.

f. By second Monday in March

The Provost and Vice President for Academic Affairs will forward each Faculty Review Portfolio with a recommendation for or against promotion and/or tenure to the University President. This recommendation becomes part of the Faculty Review Portfolio. At the same time, the Provost and Vice President for Academic

Affairs will notify the faculty member under consideration for promotion and/or tenure of his/her recommendation.

- g. By third Monday in March

The University President will send his recommendation to the Board of Regents for consideration.

12. APPEALS

Faculty members who are denied promotion and/or tenure have the right to appeal. All appeals shall follow the established policies and procedures for faculty grievances (see Academic Policy Statement 820830). All appeals must be initiated by September 1 of the calendar year in which the denial of promotion and/or tenure occurs.

13. REVISIONS TO THIS POLICY

Substantive proposals for revisions to this policy shall be submitted to the Standing Faculty Tenure Committee, the University Faculty Senate, the Council of Academic Deans, and the Academic Policy Council for review and comment prior to action by the Provost and Vice President for Academic Affairs.

APPROVED: /signed/
James F. Gaertner, President

DATED: 11/15/06

CERTIFICATION STATEMENT

This academic policy statement (APS) has been approved by the reviewer(s) listed below and represents SHSU's Division of Academic Affairs' policy from the date of this document until superseded.

Original Date: April 17, 1990
Reviewer(s): Council of Academic Deans
Academic Policy Council

Review Cycle: April 1 ONY*
Review Date: April 1, 2007

Approved: _____/signed/_____
David E. Payne
Provost and Vice President
for Academic Affairs

Date: _____11/15/06_____

* = Odd Numbered Year