

12.01.01.D1

Institutional Rules for Implementing Tenure and Promotion

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Rule Summary

The institutional rules for implementing tenure at the Texas A&M University-Central Texas (A&M-Central Texas) are mainly based on The Texas A&M University System (A&M System) Policies, as revised and approved by the System Board of Regents (Board). This rule establishes supplemental guidelines at A&M-Central Texas regarding institutional procedures relating to the granting of tenure and promotion to its faculty members.

Rule

1. GENERAL

The intent of this rule is to further contribute to the relationship of mutual support and benefit that exists among the university, its colleges, and its faculty members. Specifically, this rule aims to give colleges and their faculty the freedom and support they need to develop in their respective areas of expertise and interest while ensuring cooperation and compatibility across the colleges with respect to the wider university mission. This mission includes providing faculty with the opportunity for a tenured position in which they may be free to carry out research, teaching, and service according to the various demands of discipline, interest, and conscience, as well as the opportunity for promotion in rank to encourage, acknowledge, and reward faculty excellence in these pursuits.

2. WRITTEN TERMS OF FACULTY EMPLOYMENT

For the purposes of this rule, a faculty member is any full-time employee of A&M-Central Texas with a faculty appointment, including professors, instructors, and lecturers, as well as visiting and clinical members of the faculty. Unless otherwise stated, the term of all faculty appointments will be for a fixed period of nine months (September 1st through May 31st). All appointments are subject to annual renewal or non-renewal unless they are either 1) tenure-track appointments, and tenure has been granted, or 2) they are professional-track appointments, and a three-year renewable appointment has been granted and remains in effect. Employment during the summer months (June through August) is not guaranteed, but is determined by available budget, student demand, availability of courses, and the academic credentials and availability of faculty. For purposes of this rule, faculty accumulate years of service toward eligibility for promotion and/or tenure based on having full-time status during an academic year. Additional years of service may not be attained on any other basis (e.g.,

banked workload credits, aggregated summer employment).

- 2.1 All new faculty members must be provided with an appointment letter stating the initial terms and conditions of employment. Any subsequent modifications or special understandings regarding the appointment, which may be made on an annual basis, should be stated in writing and a copy given to the faculty member. All appointment letters must indicate whether the appointment being offered is with tenure, tenure-track, or non-tenure track.
 - 2.1.1 All tenured and tenure-track faculty members, unless the terms and conditions of their appointment letter state otherwise, are expected to engage in teaching, scholarship, and service. Essential job functions for a position may vary depending upon the nature of the department in which the faculty member holds expertise, external funding requirements attached to the position, licensing or accreditation requirements, and other circumstances. It is therefore important that essential job functions for each faculty position be listed in the initial appointment letter. For example, all of the following that are applicable should be listed: teaching responsibilities, responsibilities for advising students, independent and/or collaborative research responsibilities, engaging in patient care, committee assignments, conditions imposed by external accrediting agencies, conditions for holding a named professorship or endowed chair, or a position that combines academic and administrative duties, and any other specific essential functions for the position in question.
 - 2.1.2 Professional-track faculty often have varying duties based on the type of position they fill. Though all professional-track faculty should have a mix of responsibilities related to teaching or professional duties, service, and/or scholarship, the expectation for each professional-track faculty member will be different. These expectations should be clearly identified in their appointment letters, either as a percentage or some other quantification that makes it clear to both the supervisor and faculty member (i.e., 75% of time teaching, 12 credit hours taught, one university-level committee, etc.). These quantifications will form the basis for annual evaluations and will inform decisions relevant to promotion.
 - 2.1.3 If a faculty member is awarded years of service toward their probationary period (for tenure-track faculty) or credited years towards promotion (for tenure- or professional-track faculty) based on prior service, the number of years credited must be documented in the appointment letter.
- 2.2 The appointment letter for a faculty member with administrative duties will state the portion of the faculty member's salary that is associated with the administrative duties. The portion of the faculty member's salary not associated with the administrative duties must not exceed the salaries of other faculty with similar qualifications and performing similar duties. The appointment letter for faculty members with administrative duties will also state that the administrative duties may be removed without cause.
- 2.3 A&M-Central Texas must notify faculty members annually, in writing, of their salary. Any other changes or additions to the appointment should also be included.

- 2.4 Faculty members are expected to fulfill the terms and conditions of employment for the following year unless they resign prior to 30 calendar days after receiving notice of the terms.

3. ELIGIBILITY AND GUIDELINES FOR TENURE

- 3.1 Eligibility: To be eligible for the granting of tenure, a faculty member must be a full-time employee of A&M-Central Texas with a tenure-track appointment, who has fulfilled any requisite years of service to the university mandated by their initial appointment letter, and who either already holds the minimum academic rank of associate professor or professor or is concurrently applying for both tenure and promotion to the rank of associate professor. Except when a faculty member already holds the rank of associate professor or professor at the start of their appointment at A&M-Central Texas, the awarding of tenure and promotion to associate professor will be considered and (if approved) conferred simultaneously.

3.2 Application for Early Tenure

- 3.2.1 Faculty members with exceptional teaching, scholarship, and service records may apply during the tenure review process that runs in their fifth year of service at A&M-Central Texas. Faculty members must consult with their department chair and dean before applying for early tenure.

- 3.2.2 If the applicant for early tenure withdraws their application during the tenure review prior to submission of materials for review by the provost and vice president for Academic and Student Affairs, they will be reviewed in the mandatory year.

- 3.2.3 If the early tenure applicant does not withdraw and the decision is not to award tenure, the faculty member will be offered an appointment for one additional year following the term or semester in which the notice is received but is no longer eligible to pursue tenure.

- 3.3 Probationary Period: For purposes of this document, the probationary period is defined as the maximum number of years a tenure-track faculty member may retain their tenure-track appointment without successfully completing the tenure review process or else converting to a professional-track appointment. These processes are found in section 3.9 and section 13 respectively.

- 3.3.1 The probationary period for a faculty member on a tenure-track appointment must not exceed seven years of consecutive service at A&M-Central Texas. The initial appointment letter issued to the candidate by the respective college dean must clearly state the duration of the probationary period. The duration of the probationary period will be determined before the candidate's appointment letter is issued.

- 3.3.2 When it meets the needs of the university, candidates for new tenure-track appointments with prior service at another college or university who have

demonstrated performance at levels consistent with applicable tenure and/or promotion performance standards for the position to which they are applying at A&M-Central Texas can be awarded years of service toward their probationary period, effectively shortening the years of service they must complete at A&M-Central Texas before becoming eligible for tenure. Years of service credited through this process may also apply when determining faculty eligibility for promotion. The number of years of service credited to candidates in these instances will be jointly determined by the college dean and provost, negotiated with the candidate, and agreed upon in writing prior to the start of their appointment to best ensure the candidate's success in the tenure and promotion process.

- 3.4 Tenure upon Appointment: A candidate whose initial appointment to the university faculty is at the rank of associate professor or professor, and who held the rank of associate professor or professor and was tenured at another institution, may be eligible for tenure upon appointment (i.e., with no probationary period). To receive tenure upon appointment, a candidate must have a recommendation put forward on their behalf by their respective college dean. This recommendation must be reviewed by both the appropriate college promotion and tenure committee and the University Promotion and Tenure Committee, who will each make a recommendation to the provost. Both the provost and the president of the university must approve the request before it can be submitted for consideration by the Board. A person who is a member of the U.S. National Academy of Sciences and/or the U.S. National Academy of Engineering and/or the U.S. National Academy of Medicine at the time of employment by A&M-Central Texas will be eligible for tenure upon arrival and must be presented to the Board for its consideration, and a grant of tenure to such faculty member must not be subject to a probationary period. Faculty members awarded tenure at other institutions in the System, or at any other institution, have no automatic claim to tenure at A&M-Central Texas. Tenure is only granted by the affirmative action of the Board. When a request for tenure upon appointment is denied by the Board, an appropriate probationary period will be determined and clearly stated in the candidate's appointment letter according to the guidelines in section 3.3 above.
- 3.5 Administrative Personnel: Only tenure-track faculty appointments are tenure eligible. Administrative positions are not eligible for tenure per se. However, administrative personnel, such as the provost, associate provosts, assistant provosts, college deans and department chairs, who hold academic rank and tenure in addition to their administrative position, will retain their tenured status as faculty members even if their administrative positions are voluntarily or involuntarily terminated. Standard Administrative Procedure (SAP) 01.03.99.D0.01, *Appointment of Academic Associate Deans, Chairs, and Directors with Faculty Rank*, provides procedures for appointments of full-time and part-time academic administrators that hold faculty rank.
- 3.6 Extension of Probationary Period: During the probationary period, a faculty member may encounter unanticipated and/or unavoidable circumstances that present a significant impediment toward demonstrating the requisite qualifications for tenure and promotion. In such cases, the probationary period for a faculty member with a tenure-track appointment may be extended upon request and subject to approval. This extension may permit a candidate to exceed the initial maximum probationary period described in

section 3.3.1 above.

A candidate will no longer be eligible for a probationary period extension once the formal tenure review cycle scheduled for that candidate has begun. That is, a candidate may neither withdraw a submitted tenure portfolio to request a probationary period extension, nor may they apply for an extension after having failed to submit a portfolio before the deadline.

- 3.6.1 Eligibility. This policy is not intended to apply to normal delays such as those occurring in the academic publishing cycle. Rather, circumstances that may justify the approval of such an extension include but are not limited to, serious illness or injury; responsibility for the primary care of a dependent; responsibility for the primary care of a close relative who has a disability, is elderly, or is seriously ill; or other serious disruptions of the probationary period for unexpected reasons beyond the faculty member's control.
- 3.6.2 Application. A candidate must apply for an extension with their chairperson, who if in agreement with the faculty member that an extension is warranted, must make a written request to the college dean on the candidate's behalf. If the dean also supports the extension, the dean must petition the provost in writing, and the provost will either approve or disapprove the request. If the request is approved, the provost will issue a new appointment letter to the faculty member with revised probationary period dates. If denied, the probationary period dates on the faculty member's original appointment letter will remain in effect.
- 3.6.3 Length of extension. The typical probationary period extension is one year. A longer period may be requested and may be granted when the circumstances warrant it.
- 3.7 College and Department Criteria: The faculty and administrators of each college will define and distribute a set of performance criteria and standards for the promotion and tenure of its respective faculty members. This provision is primarily intended to permit colleges to establish norms and standards of scholarship appropriate to their respective disciplines, which are more varied across disciplines than standards of teaching and service.
 - 3.7.1 These criteria must address the principal performance categories of teaching and/or professional performance for professional-track faculty, scholarship and service, and should incorporate criteria and evaluation standards appropriate for the particular college. Any criterion or standard established by a college may not reduce, replace or eliminate any general criterion or standard established by the university. The evaluation criteria and standards for a college will be compiled into a document that must be made available immediately to all faculty within the college. New faculty will be given the standards at the time of appointment.
 - 3.7.2 In the college performance criteria and standards document, each evaluation criteria and standard must be clearly defined and classified or weighted according to its relative importance, and minimum standards (if the college has defined any) as well as normal performance levels should be clearly indicated. If desired, colleges should also specify what, when, and how scholarly work that was

partially or fully completed at another institution (e.g., during a doctoral program or previous faculty appointment) should count. All college guidelines and requirements must be consistent with the wider mission of the university, in compliance with overall A&M System policies and university policies and procedures and will be submitted to and approved by the provost and the university president before being used to review faculty members undergoing a formal tenure and/or promotion review.

- 3.7.3 Discipline-specific standards. In addition to these general standards established by each college, discipline-specific departmental standards may also be established at the discretion of the faculty within individual departments, subject to approval by the dean of the college as well as the other guidelines and restrictions described in the preceding two paragraphs of this section. Department-specific standards must be consistent with wider standards within the college, and should also be incorporated (i.e., as a sub-section or appendix) into the respective college criteria and standards document.
- 3.7.4 Joint appointments. In the case of any faculty members holding a joint appointment in two different colleges (or generally, any appointment for which more than one set of standards apply), the deans of the two academic units must jointly prepare a unique performance criteria and standards document for the faculty member that satisfies the criteria listed in this section.
- 3.7.5 Revision of standards. If the faculty and administrators of a college jointly decide to revise their standards, the new standards must be immediately distributed to all faculty members within the college. All revisions are subject to the approval guidelines described in section 3.7.2 above. To minimize the impact on faculty in a probationary period, revisions of college standards should take place in the fall semester after the submission deadlines for tenure and fourth-year review portfolios have already passed. Any revision to college standards will not apply to tenure and/or promotion portfolios already undergoing the formal review process described below.
- 3.7.6 Grace period. In addition to the provisions in the section regarding Extension of Probationary Period, a grace period of up to two years may be exercised by faculty members still in their probationary period following the establishment of, or changes to, college or department criteria for promotion and tenure if the faculty member's tenure deadline is within three years of the date the changes are made. Faculty members who exercise this grace period will be eligible to delay the submission of their tenure and/or promotion portfolios for up to two calendar years without penalty. The duration of the grace period will be reckoned from the date when the faculty member's tenure portfolio would have been due based on the tenure eligibility date indicated on the faculty member's original appointment letter. Once new/revised college or department standards are approved, faculty members still in their probationary period should meet with their respective department chairs or deans to discuss the grace period option. Those faculty members who wish to exercise this grace period should notify their department chairs and/or college deans as soon as possible, who will in turn notify the provost. The provost will issue new appointment letters to faculty defining the

range of the grace period during which the faculty member may submit their portfolios. The tenure and promotion review process of faculty members who exercise this option will follow the schedule issued by the Office of the Provost for the academic year during which they choose to submit their portfolios.

3.8 Application: The evaluation of faculty applying for tenure and/or promotion will be guided by approved college and university guidelines. Candidates must submit an electronic portfolio in the approved portfolio management system by the application deadline (September 1st and October 1st, respectively), at which time review access will be granted to the appropriate reviewers by the provost or their designee. Each portfolio must contain updated versions of the same items required for the candidate's fourth year review portfolio (see A&M-Central Texas Procedure 12.02.99.D0.02, *Fourth Year Review for Tenure-Track Faculty*), plus any additional items mentioned below. The necessary items are as follows:

1. A copy of the current approved college, and if applicable, departmental standards
2. A current curriculum vitae that includes information on degrees and certifications, professional appointments, teaching, research, service, honors and awards, and other professional contributions
3. A self-evaluation, in which the candidate succinctly summarizes and provides general reflection about the information that is to follow in the portfolio
4. Copies of all annual performance evaluations conducted during the probationary period (or, for applicants to the rank of full professor, during the period under review)
5. A section related to the candidate's teaching at the university during the probationary period (or period under review). This section must include at least the following:
 - a) The candidate's statement on teaching (teaching philosophy)
 - b) A list of all classes taught, with commentary on new preps, teaching innovations, distance learning courses, integration of technology, and course level (graduate or undergraduate)
 - c) Statistical summaries of all available official student evaluations from the last three years, copies of student comments from these evaluations, and a commentary on these data
 - d) Data and commentary on the candidate's grade distributions from the last three years
 - e) Copies of teaching observations (classroom and/or online) conducted by a supervisor (chair or dean)
 - f) Copies of two different syllabi and three or four examples of other teaching materials (e.g., handouts, examinations, assignments, rubrics, discussion questions,). Faculty members who teach at both the graduate and undergraduate level should include at least one syllabi and teaching material item from each level.
6. A section related to the candidate's scholarship, particularly that which was

conducted or completed during the probationary period or period under review. This section must include at least the following:

- a) A summary of the candidate's scholarship/creative activity
- b) Copies of publications, grant applications, or other materials that document and/or depict the candidate's scholarship within their discipline. Candidates within disciplines for which books are the standard form of scholarship should include a copy of a representative chapter or excerpt. The candidate should include at least one scholarly/creative work that best represents their abilities.
- c) Evidence that supports the quality of each work of scholarship within its respective discipline. This evidence may include such items as journal acceptance rate, citations, impact factor, quality of publisher or journal, editorial board membership, status of the publication within the candidate's discipline, evidence of published materials being used in an undergraduate or graduate course at another institution, etc.
- d) For any co-authored work, a description of the contributions that were made by the candidate

In addition to the above required items, colleges may elect to require all their respective tenure candidates to include an external reference that provides an assessment of the candidate's standing/reputation in the larger academic or professional community. This requirement should a college choose to adopt it, must be included in the college standards document described in section 3.7. When an external letter is required by a college, it will be up to the administrators of the college in question to procure the letter from the reviewer on behalf of the candidate. External letters of reference should be from experts who are tenured, who hold the rank of associate professor or professor, and who are working at other peer or aspirational colleges and universities.

- 7. A section related to the candidate's service completed during the probationary period or period under review. This section must include the following:
 - a) An overview summary of the candidate's service to the university, to the profession, and/or wider community (See section 4.2).
 - b) A list of all department, college, and university committees and/or task forces on which the candidate served during the probationary period or period under review, with a discussion of the candidate's contributions, as well as other service related roles and functions within the university community (e.g., student organization advisor)
 - c) A list of service to the profession and/or wider community, with a discussion of what contributions the candidate made and how this service relates to their faculty role
 - d) If applicable, any other service that relates to the faculty member's discipline, with a discussion of what contributions the candidate made and how this service relates to their faculty role.

- 8. Candidates applying for promotion to full professor must also include in their portfolios three outside references. External reviewers must be experienced contributors to higher education who are qualified to address the quality and significance of the candidate's scholarly work on one or more aspects related to

discovery, teaching, application, and/or integration. These individuals may include tenured faculty at peer or aspirational institutions, experienced practitioners in the faculty member's discipline outside of academia, educational consultants who work to support the mission of higher education, and other academic thought leaders who have made significant contributions to higher education. The administrators of the candidate's college are responsible for soliciting and securing these letters on the candidate's behalf, although the candidate may be involved in determining faculty who may be eligible to write such a letter. The candidate applying for promotion should meet with the chair and the dean at least six months prior to the portfolio due date to ensure there is adequate time to secure outside references.

In addition to the foregoing required items, each candidate for tenure and/or promotion may submit additional items to provide further support for their tenure or promotion application. See the Appendix to this document for a thorough but non-exhaustive list of items that may be used for this purpose.

- 3.9 Process of Tenure and/or Promotion Review: A faculty member who is eligible for tenure consideration will be notified of their eligibility in writing by the Office of the Provost during the year prior to the academic year in which their tenure review is scheduled to occur. This notification will include the deadline for the submission of the candidate's tenure portfolio. Except for those cases where a candidate has been approved to apply for early tenure, the tenure review process will take place during the penultimate year of the candidate's probationary period, as defined in the candidate's original appointment letter (or, if one has been issued, in a revised appointment letter). The tenure and/or promotion review process begins once the candidate's tenure and/or promotion materials are submitted and typically takes a full academic year to complete.

The review of a candidate's portfolio will be conducted sequentially using applicable department, college and university standards. The sequence of review will be department chair (or equivalent), college promotion and tenure committee, college dean, University Promotion and Tenure Committee, provost, and then president. At each stage all previous reviews and recommendations will be added to the portfolio to be visible for the next stage of review. The review timeline will proceed according to the schedules published by the Office of the Provost for each year, and will adhere to the following sequence:

1. The candidate will submit an electronic portfolio by the stated deadline. A copy of the currently approved college and department standards should be included with each portfolio.
2. The department chair will review the candidate's portfolio and prepare a written recommendation addressed to the college promotion and tenure committee on whether to recommend the candidate for tenure and/or promotion. The chair's written recommendation should be added to the portfolio for the next phase of review and must provide specific details in support of their recommendation, including in which areas and to what extent the candidate's performance exceeded or fell short of applicable college or departmental standards. The department chair will inform the candidate that this stage of review has been completed.
3. Each member of the college promotion and tenure committee will individually review the candidate's portfolio against approved and applicable standards. Once

this has taken place, by a simple majority of those voting, the committee will make a recommendation to grant or deny tenure and/or promotion to the candidate. The committee's written recommendation addressed to the dean should be added to the portfolio and must provide specific details in support of the committee's decision, such as in which areas and to what extent the candidate's performance exceeded or fell short of applicable college standards, and whether the committee's recommendation was unanimous (the identities of individual assenting or dissenting members should not be included). After the committee approves the language in the recommendation, the committee chair should add their written recommendation to the candidate's portfolio for the next phase of review. The committee chair will inform the candidate that this stage of review has been completed.

4. The dean will review the portfolio against approved and applicable standards and draft a written recommendation addressed to the University Promotion and Tenure Committee. This written recommendation should incorporate relevant details relating to the candidate's performance relative to the approved college standards. The dean will add their written recommendation to the candidate's portfolio by the deadline stated in the current applicable review schedule published by the Office of the Provost for the next phase of the review. The dean will inform the candidate that this stage of review has been completed.
5. Each member of the University Promotion and Tenure Committee will individually review the candidate's materials against approved and applicable standards. Once this has taken place, by a simple majority of those voting, the committee will make a recommendation to grant or deny tenure and/or promotion to the candidate. The committee's written recommendation addressed to the provost should be added to the electronic portfolio and must provide specific details in support of the committee's decision, such as in which areas and to what extent the candidate's performance exceeded or fell short of applicable standards, and whether the committee's decision was unanimous (the identities of individual assenting or dissenting members should not be given).
6. The candidate's portfolio and recommendations will be reviewed by the provost who will make a recommendation to the president. If the president elects to make a positive recommendation on behalf of the candidate, the requisite System tenure and/or promotion documents will be submitted to the Vice Chancellor for Academic Affairs at the System, and the provost will notify the candidate that this stage of review has been completed. If approved, the chancellor of the System will submit the tenure documents to the Board. Final approval for promotion-only applications is given by the president alone and does not require a vote by the Board. At this point in the review process, the provost will notify each candidate as to whether their application has been approved for promotion (for promotion-only applications) or is being forwarded to the Board for final approval (for tenure applications). In the case of promotion-only applications, this step concludes the formal review process. Promotion-only applicants will be notified in writing by the Office of the Provost of the outcome of their application no later than the start of the next academic year.

7. The Board will vote to grant or deny a candidate's tenure application. Tenure is granted only by the affirmative action of the Board. Candidates who are not granted tenure are entitled to serve for two additional long semesters following the term or semester in which the notice is received, at the conclusion of which their faculty appointment with the university will end.
 8. As a professional courtesy, the Office of the Provost will typically relay the decisions of the Board to the candidates electronically as soon as a decision is announced. In addition, written notification of the Board's decision will be delivered to the candidate no later than the start of the final year of the candidate's probationary period.
 9. Once the tenure and/or promotion review process is complete, a faculty member is permitted upon written request to the provost to review the recommendations of the reviewers of their application.
- 3.10 Consideration of Portfolio Items Submitted after the Deadline: Under certain conditions candidates may be permitted to submit additional items to their tenure and/or promotion portfolio after the applicable submission deadlines published by the Office of the Provost.
- 3.10.1 Eligibility. Candidates may submit such additional items provided (1) the candidate's original portfolio was submitted on time, (2) the additional items relate to faculty work that was already completed at the time the portfolio was due, and (3) the final recommendation of the university with respect to the candidate's application has not yet been sent to the chancellor and/or Board. Examples of items that could be included under the provisions of this subsection include new publications for which the candidate was awaiting final editor/publisher decision at the portfolio submission deadline and awards or prizes won for which the candidate was already under consideration at the submission deadline.
- 3.10.2 Submission. Candidates should notify the Office of the Provost of any items they wish to have considered under the provisions of this section. Candidates must provide evidence of the publication, award, etc., plus any applicable indicators of quality as described in section 3.8. The Office of the Provost will notify the appropriate reviewers of the additional items and will be responsible for including the additional items with the candidate's portfolio (e.g., an updated vita, copy of editor/publisher decision letter, etc.). Per section 3.11.3 below, neither the candidate nor the reviewers are permitted to modify the portfolio in any way once the formal review process has begun.
- 3.11 Responsibilities of Administrator and Faculty Reviewers of Tenure and Promotion Portfolios:
- 3.11.1 Confidentiality. Only the provost is permitted to give feedback to the promotion and tenure applicants. All administrator and faculty reviewers of promotion and tenure materials should consider their deliberations and decisions (whether individual or as part of a committee) confidential except where permitted to other official participants in the formal review process described above.
- 3.11.2 Security of Submitted Materials. The utmost care should be taken to protect the

security and integrity of submitted applicant materials. Only official reviewers within the formal process described above should be allowed to access and review applicant materials. Individuals designated by the provost to support management of electronic portfolios will access those materials only to the extent required to complete their support functions. All materials for review are provided to reviewers in a secure online location. Should reviewers need any materials for review printed a request must be submitted to the Office of the Provost. These materials should be kept in a locked and/or secure storage area when not being actively reviewed. The Office of the Provost will maintain a sign-out/in sheet to ensure that the location and possessor of the application materials are always known throughout the review process. If needed, the Office of the Provost will designate a secure and centralized location for each review cycle (e.g., conference room, library) where the printed application materials should be stored (and from which they may be checked out) to ensure both security and ease of access to relevant reviewers.

- 3.11.3 Integrity of Submitted Materials. The materials submitted must be maintained in the exact state as received from the applicant throughout the formal review process and will not be modified in any way during this process. Except under the provisions described in this rule, and regardless of intention, it is strictly forbidden for any person to modify, remove, replace, make digital or print copies, or reorganize any of the materials in a promotion and tenure application, or to ask/appoint someone else to do so.
- 3.11.4 Review of Submitted Materials. In evaluating a faculty member being considered for tenure or promotion, the appropriate faculty committees and academic administrators will give adequate consideration to the faculty member's performance regarding established college and/or departmental standards. Adequate consideration of a tenure or promotion case consists of a conscientious review undertaken in good faith, in which the reviewer seeks out and considers all available evidence bearing on the relevant performance of the faculty member, and in which it is assumed that the other participating members of the review process have adhered to their approved procedural guidelines. Consideration of a tenure or promotion case should be based upon substantive deliberation over the evidence considering relevant and applicable college standards.
 - 1) Reviewers have the right and responsibility to verify the contents of tenure and promotion portfolios within the limits of applicable System and university policies.
 - 2) All members of promotion and tenure committees are required to vote positively or negatively on each candidate (i.e., no abstentions), unless a conflict of interest would reasonably impede their ability to provide an unbiased and conscientious review undertaken in good faith of a candidate. In such cases, the committee member must recuse themselves and cannot participate in either the deliberations or the vote. If this recusal results in an insufficient number of faculty eligible to consider a portfolio, the chair of the committee will promptly collaborate with the dean of the appropriate college to replace this member.

3.12 Selection and Composition of Promotion and Tenure Review Committees:

3.12.1 Committee Eligibility

- 1) Faculty members are eligible to serve on a promotion and tenure review committee when they are at or above the associate faculty rank, not currently seeking promotion or tenure, and are not currently serving as a dean or department chair.
- 2) Preference is given to faculty members that hold the rank of professor when making recommendations about applications for promotion to professor. Once a unit (i.e., college) has at least three faculty at the professor rank to sit on the unit's promotion and tenure committee, any committee member whose academic rank is not greater than or equal to the rank to which a particular candidate is applying must recuse themselves from deliberations and vote for that candidate's application for promotion.
- 3) Professional-track faculty members eligible to serve on a promotion and tenure committee may fully participate in deliberations about and voting on recommendations for promotion of professional-track faculty. For recommendations of tenure, they may serve to provide expert information on academic discipline or field standards and departmental and/or college expectations; however, they do not vote on recommendations for tenure-track faculty.

3.12.2 College Promotion and Tenure Committee. Each college will organize its own promotion and tenure committee to review the portfolios of its own faculty members. This committee will be chosen by election from among the eligible faculty of the college. Each individual college will determine the appropriate term lengths, limits, and rotations for members of its respective committee. Each college committee will have an odd number of members (minimum of three when tenured faculty). When a professional-track faculty candidate in a college is being considered for promotion, a professional-track faculty representative will be included in the appropriate college-level committee to review and vote on applications for promotion of professional-track faculty. Preference for this representative is given to faculty with the rank of senior.

If a college does not have sufficient faculty eligible to serve and vote on the college promotion and tenure committee, the eligible members will nominate faculty outside the college who meet the other eligibility criteria. The provost will confirm sufficient faculty from among the nominees to create an ad hoc college promotion and tenure committee that has a minimum of three tenured faculty. For consideration of applicants for promotion to rank of professor, if a college does not have three members at the professor rank eligible to serve on the committee, the committee will nominate full professors outside the college. The provost will confirm sufficient faculty from among the nominees to create an ad hoc college promotion and tenure committee with a minimum of three tenured full professors for consideration of candidates applying for promotion to professor rank.

3.12.3 University Promotion and Tenure Committee. This committee will include two tenured faculty members from each academic college. Preference is given to faculty with the rank of professor. When a professional-track faculty candidate is being considered for promotion, a professional-track faculty representative will be included in this committee and participate in reviews of the professional-track faculty. Preference is given to faculty with the rank of senior. Subject to the availability of qualified faculty members, the provost will determine the appropriate term lengths, limits, and rotations for members of this committee. The members of this committee will be selected according to the normal protocols for standing university committees, including review by the Faculty Senate Committee on Committees. The University Promotion and Tenure Committee will elect its own chair. For promotion applications only, any committee member whose academic rank is not greater than or equal to the rank to which a particular candidate is applying must recuse himself or herself from deliberations and vote for that candidate. In such cases, the provost may choose an ad hoc committee member(s) to act as a proxy for the recused committee member(s). A faculty member who has served as a department chairperson or dean at any time during the previous academic year may not serve on the University Promotion and Tenure Committee. Members of this committee may not simultaneously serve on a college promotion and tenure committee. Aside from the provisions of the review protocol described in sections 3.8 and 3.10, members of this committee are not permitted to post, discuss, share, duplicate, or disseminate in any way the contents of candidate portfolios or of committee deliberations with anyone not on the committee.

4. CATEGORIES OF PERFORMANCE: Tenure-track and tenured faculty

All members of the faculty will be evaluated for tenure and promotion based on their accomplishments in each of three major categories of performance: teaching, service, and scholarship. Each category should be considered an ongoing academic practice in which a faculty member is expected to grow and develop throughout their respective career. The evaluation of the performance of faculty members in these categories constitutes an exercise in academic judgment that is founded upon on a broad array of measurements and indicators, both quantitative and qualitative.

4.1 Teaching: Effective teaching is a minimum expectation for the granting of tenure and promotion, and no positive recommendation for tenure or promotion at the university will be given when teaching effectiveness is in doubt. The evaluation of teaching effectiveness should be as comprehensive as possible, and should systematically incorporate the feedback of students, supervisors, and peers over time regarding such things as rigor, engagement, innovation, how well the faculty member understands the development and dissemination of knowledge within their respective discipline, how well they establish an environment conducive to learning, how well they motivate students to think and analyze critically, how effectively they communicate, and to what degree they instill a genuine desire in students to continue learning. A listing of many specific measures and indicators that may be considered when assessing a faculty member's teaching effectiveness is included in the Appendix to this document.

- 4.2 Service: Service that a faculty member renders in a professional capacity to the university, to the profession, and/or to the wider community will be considered when assessing qualifications for tenure and for promotion in academic rank. The evaluation of a faculty member's service should consider the specific, positive, and substantive contributions of the faculty member to the effective functioning of the service entity (i.e., committee, board, association, etc.), as well as the benefits and/or guidance provided by the faculty member to those who are being served (e.g., students, colleagues, clients). By themselves, memberships in and/or affiliations with service bodies are insufficient to establish a record of service. A listing of many specific types and measures that may be considered when assessing a faculty member's service is provided in the Appendix to this document.
- 4.3 Scholarly or Artistic Endeavor: Scholarship at A&M-Central Texas can be defined as those activities that systematically advance the teaching, research, and knowledge of academic disciplines through rigorous inquiry that 1) is significant to the discipline, 2) is made public, 3) is creative, 4) can be documented, 5) can be replicated or built on by other scholars, and 6) is available for peer review and critique according to accepted standards¹.

Furthermore, scholarship at A&M-Central Texas encompasses four possible areas critical of academic work², including the scholarship of:

- 1) discovery, where new and unique knowledge is generated;
- 2) teaching, where the professor creatively builds bridges between their own understanding and the students' learning;
- 3) application, where the emphasis is on the use of new knowledge to solve society's problems; and
- 4) integration, where new relationships among disciplines are discovered.

A faculty member's scholarly work should both contribute to their discipline and serve as an indication of professional competence and development. It should serve as a vehicle to enrich and inform the faculty member's instruction. To qualify as scholarship or creative work, the results of a scholarly or artistic endeavor must be disseminated and subject to critical peer evaluation in a manner appropriate to the field in question. However, scholarship and artistic endeavor may take many forms, and the criteria for judging the original or imaginative nature of research or creative work must derive from current and generally accepted standards in the applicable discipline or professional area, as reflected in each college's performance criteria and standards document (see section 3.7). A listing of many specific types and measures that may be considered when assessing a faculty member's scholarship and/or creative work is provided in the Appendix to this document.

¹ See Glassick, C. E. (2000). Boyer's expanded definitions of scholarship, the standards for assessing scholarship, and the elusiveness of the scholarship of teaching. *Academic Medicine*, 75(9), 877-880.

² See Boyer, E. (1990). *Scholarship reconsidered: Priorities for the Professoriate*. Princeton: NJ: The Carnegie Foundation for the Advancement of Teaching.

5. GUIDELINES FOR APPOINTMENT AND PROMOTION IN RANK FOR TENURE-TRACK FACULTY

5.1 Minimum Expectations: Notwithstanding the various criteria established by the candidate's respective college, minimum university expectations and guidelines for initial appointment and/or promotion in faculty rank are as follows:

5.1.1 Assistant Professor: The candidate must demonstrate competence in the subject matter of the courses to be taught by having completed an appropriate, discipline-specific doctorate or professional degree, and/or full-time teaching or appropriately related work experience, with evidence of potential for scholarly achievement in ways appropriate to the discipline.

5.1.2 Associate Professor: The candidate must have completed a minimum of five years of service at the rank of assistant professor at a regionally accredited college or university, must provide evidence of sustained competence and growth in the discipline, and must demonstrate significant contributions to teaching, service, and scholarly or artistic endeavor as measured against those of contemporaries, and as expected of a tenured faculty member. Scholarship must be sufficient to verify continuing growth in the candidate's discipline and must include peer-reviewed publications or reviewed creative activities.

5.1.3 Professor: The rank of professor is the crowning achievement of tenure-track faculty and is exemplified by individuals who are outstanding among their peers and who have achieved additional distinction that is clearly above that of an associate professor. The candidate for this rank will typically have completed five years at the rank of associate professor; must provide evidence of mastery in the discipline and a record of sustained excellence and development in teaching, service, and scholarly or artistic endeavor as measured against contemporaries, and as expected of a tenured faculty member seeking promotion to the university's highest academic rank. Scholarship must show evidence of both maturity and a continuous commitment to the candidate's discipline and must include peer-reviewed publications or reviewed creative activities.

5.2 Application and Review Process for Promotion: Candidates applying for tenure according to the probationary period defined in their appointment letter will automatically and simultaneously be considered for promotion, and do not need to submit application materials for promotion beyond what is necessary for their tenure portfolio (see section 3.8). All other candidates seeking promotion in academic rank should submit a portfolio similar to the one described in section 3.8 above, but the materials submitted as part of an application for promotion to the rank of (full) professor should necessarily cover a longer time horizon than just the initial probationary period, and should emphasize the cumulative progression toward the mastery and status expected of the rank of professor as described in paragraph 5.1.3 above.

5.2.1 Review Process: The review process for promotion applications not conducted as part of an application for tenure will proceed according to the schedule and deadlines published by the Office of the Provost each academic year. Aside from

there being no need for review and approval by the Board, the review process and sequence for promotion applications is identical to steps one through six of the process followed for tenure applications (section 3.9 above). Faculty candidates must be notified in writing of the outcome of their promotion applications prior to the start of the academic year following that in which they submitted their promotion application materials. Once the application review process is complete, faculty members are permitted upon written request to the provost to review the recommendations of the reviewers of their promotion applications.

- 5.2.2 Repeat Applications: Candidates who are denied promotion to the rank of professor as part of a formal application review may reapply at their discretion. Repeat applications for the rank of professor must include a single page listing the date of the most recent previous application and detailing the significant changes in the applicant's portfolio that have occurred since that date (e.g., new publications, grants, patents, awards, offices, editorships, recognitions, citations, etc.). This page should appear at the front of the applicant's portfolio.

6. TENURE, FINANCIAL EXIGENCY, AND PHASING OUT OF PROGRAMS

- 6.1 Cases of bona fide financial exigency or the reduction or discontinuance of an institutional program based on educational considerations (e.g., insufficient enrollment, change of mission) may permit exceptions to tenure regulations and rules, including faculty dismissals. Guidelines for determining whether and how these conditions apply are contained in section 9 of System Policy *12.01, Academic Freedom, Responsibility and Tenure*.
- 6.2 Per section 9 of System Policy *12.01*, "there should be early, careful, and meaningful sharing of information and views with appropriate faculty representatives on the reasons indicating the need to terminate programs" when faculty dismissals are contemplated on grounds of financial exigency or program termination or reduction. The president and/or provost should meet with the full faculty or the Faculty Senate, or both to provide evidence as to why faculty dismissals may be required and to solicit recommendations regarding alternative courses of action that may be taken.
- 6.3 Any faculty member who is either tenured or whose current term appointment has not expired and who is selected for termination under Section 6 must be provided with the following information in writing:
- a) The basis for the initial decision to dismiss,
 - b) A description of the process by which the decision to dismiss was made, and
 - c) Information and data upon which the relevant decision makers relied.
- 6.4 A faculty member who is either tenured or whose current term appointment has not expired and who is selected for termination under Section 6 should be notified of the intent to dismiss as soon as is feasible. The faculty member will be eligible for reassignment in a related discipline within the university provided:
- a) the faculty member is qualified professionally to teach in the related discipline,
 - b) there is a position available, and

- c) the dean and chairperson responsible for the new position approve of the reassignment.

If all the above conditions are met, the specific terms and conditions of the reassignment will be jointly negotiated by the dean/chairperson, faculty member, and provost, and a new appointment letter will be issued to the faculty member.

- 6.5 If a faculty member is notified that they have been selected for termination based on a bona fide financial exigency or program reduction/termination, the faculty member will have a period of 30 days following the notification of termination to request a hearing before all members of the Faculty Affairs Committee of the Faculty Senate to appeal the termination.

The Faculty Affairs Committee members are elected in accordance with faculty senate rules. If the current Faculty Affairs Committee contains fewer than three tenured faculty members, the Faculty Senate president will select additional tenured faculty members from among the standing Senators to serve on an ad hoc basis as members of the Faculty Affairs Committee for purposes of the faculty termination appeal. If the current Faculty Senate contains fewer than three tenured faculty members, the Faculty Senate president will select tenured faculty from the faculty at-large to serve on an ad hoc basis as members of the Faculty Affairs Committee. The Faculty Senate president may only appoint members to bring the total number of members of the hearing committee up to the minimum of three.

In this hearing, the burden of proof rests with the university to demonstrate by some credible evidence that one of the conditions named in section 6.1 above exists. The hearing committee will formulate findings whether, in its judgment, a bona fide financial exigency exists or that legitimate educational considerations led to the reduction or discontinuance of a program causing dismissal. The Faculty Affairs Committee will submit its findings in the form of a written recommendation to the faculty member and the president of the university.

- 6.6 Any faculty member dismissed or reassigned because of the conditions in section 6.1 above has the right to automatic reappointment to their original position if it is re-established within two calendar years of the effective date of the dismissal. Any such re-appointed faculty member will be eligible to retain their tenure status (tenured or probationary tenure-track), rank, and/or accumulated years of service as of their original termination or transfer effective date.

7. LOSS OF TENURE

- 7.1 Tenure is relinquished when a faculty member:

- (a) retires;
- (b) resigns;
- (c) is dismissed for cause pursuant to System Policy *12.01* and this rule;
- (d) is not employed with A&M-Central Texas for a period of more than 12 consecutive months (excluding any time during this period spent on an approved leave of absence); or
- (e) is not reassigned in cases of bona fide financial exigency or the reduction or

discontinuance of an institutional program based on educational considerations (as described in section 6).

A faculty member who accepts full-time employment in another part of the System—either as a faculty member of another System school or as a non-faculty employee of the university or System—may retain their tenured position at the university provided 1) the faculty member formally notifies their chairperson annually by March 1st of the desire to retain the tenured position at the university, and 2) this request is approved by the provost. However, an approved request for retention of tenure at the university does not constitute the granting of tenure at another System institution, since tenure at a specific System institution is granted only by the affirmative action of the Board and is non-transferable to any other System institution. If such a request to retain a tenured position is denied, the faculty member must return to the tenured position formerly held at the university within 12 months of when their employment with the university ended or else relinquish tenure at the university by default.

8. RESOLUTION OF PROBLEMS OF PROFESSIONALISM IN TENURED OR NONTENURED FACULTY

- 8.1 Definition and Eligibility: Under certain conditions, a faculty member's supervisor may initiate a remediation process to address perceived professional deficiencies in that faculty member. For purposes of this section, and notwithstanding the processes of faculty performance review and/or remediation described in sections 10 and 11, a professional deficiency may exist when a department chair or other immediate supervisor has reason to believe 1) that a faculty member, whether tenure-track or professional-track, is currently performing at levels below professional standards (e.g., exhibiting professional incompetence, continual or repeated substantial neglect of professional responsibilities, moral turpitude, etc.), 2) that these deficiencies do not constitute grounds for the immediate initiation of dismissal proceedings under section 9, and 3) that these deficiencies are remediable in the near-term by the faculty member without the aid of additional university resources beyond what is available to the other faculty.
- 8.2 Process: If a supervisor determines that a professional deficiency is being exhibited by the faculty member in question, the supervisor will communicate these concerns to the faculty member in a timely manner and in good faith. The supervisor and faculty members will immediately discuss how to correct the issue(s) and develop a written plan for resolution. This document will enumerate the specific deficiencies being addressed by the plan, the specific measures by which progress toward correcting the deficiencies will be measured, and the specific timeline during which this progress will be tracked. This document will be signed and dated by both the faculty member and the supervisor, and the faculty member will be given a copy.
- 8.3 Resolution: If this written plan results in a successful resolution (as defined in the plan) to the stated deficiencies (as defined in the plan), this document should not be included in the faculty member's permanent personnel file, and the matter should be considered closed. This process may be repeated at the supervisor's discretion. (Note: The exclusion of a resolution plan document from a faculty member's personnel file does not preclude an appropriate and comprehensive evaluation of the faculty member's performance in any category of faculty performance addressed by the plan document, such as would be done in an annual performance review.)

8.3.1 If, however, the remediation provisions in section 8.2 do not resolve the problem(s), and the supervisor believes that a pattern of professional deficiency constitutes good cause for dismissal may exist, they may initiate the process for dismissal set forth in section 9 only if the faculty member in question is nontenured. If the faculty member is already tenured, the process of review, remediation and/or dismissal should proceed according to University Procedure *12.06.99.D0.01, Post-Tenure Review*.

8.4 Administrative Leave: Faculty members may be placed on administrative leave with pay by the faculty member's dean, with the concurrence of the provost pending an investigation into matters pertaining to the faculty member's job performance, including but not limited to, fiscal matters and improper conduct in teaching, research, or service, or an allegation of misconduct pursuant to System Regulation *08.01.01, Civil Rights Compliance*. Notification will be given in writing and will include the reasons for placing the faculty member on administrative leave with pay and the terms of the leave. A faculty member placed on administrative leave with pay may appeal the decision in writing to the provost. The provost will forward the appeal to the appropriate Committee. The investigation process is not stayed by an appeal. The appeal should be completed within five business days of receipt of the appeal. This provision is distinct from suspension during the pendency of termination proceedings. Placing a faculty member on administrative leave with pay is justified in aiding an investigation.

9. PROCESS FOR DISMISSAL OF TENURED FACULTY, OR NONTENURED FACULTY DURING THE TERM OF A TERM APPOINTMENT

9.1 Good cause for dismissal: As described in section 6 above, faculty members may be dismissed in cases of financial exigency and when educational considerations warrant it. Per sections 4 and 8 of System Policy *12.01*, good cause for dismissal of a faculty member also effectively includes any act or behavioral pattern exhibited by the faculty member that puts the successful and ethical functioning of any part or member of the university in jeopardy, including (but not limited to) professional incompetence, failure to successfully complete the requirements of a professional development plan established as part of a post-tenure review, moral turpitude, criminal conviction, falsification of academic records or credentials, violation of university or System policy, and a finding of sexual harassment or other serious misconduct.

9.2 Initiation of the Dismissal Process: If it is believed that a faculty dismissal may be warranted, the faculty member's supervisor should discuss the matter with the appropriate college dean. If in agreement that dismissal may be warranted, the dean will discuss the matter with the provost and the president of the university. If the provost and president agree that a dismissal may be warranted, the dean will issue written notification to the faculty member that dismissal proceedings are being initiated. This notification must include the specific grounds for initiating the dismissal process. Initial concurrence that dismissal may be warranted among the supervisor, dean, provost and president does not constitute an official dismissal. Dismissal may only occur through due process in compliance with the guidelines outlined in System Policy *12.01*.

9.3 Right to a Hearing: Within 10 days of receiving notification that the university is beginning the dismissal process, a faculty member may request a hearing before the Faculty Affairs Committee of the Faculty Senate. The faculty member should direct this

request to the Office of the President, and the president will have five business days from the receipt of the hearing request to notify the Faculty Affairs Committee that a request for a hearing has been filed, and to provide information to the faculty member as to the procedural rights that the faculty member will have in the hearing. This includes the right to challenge the membership of the Faculty Affairs Committee by petition to the president.

The purpose of a hearing by the Faculty Affairs Committee is to determine whether the faculty member should be removed from their position. The Faculty Affairs Committee will set a time for the hearing that will allow the faculty member a period of 30 days during which to prepare a defense to the charges made and will notify the faculty member in writing of the time and place for the hearing. Notwithstanding this 30-day period, the hearing should take place within 60 calendar days of the date of the appeal request but may be extended by up to 15 calendar days by the chair of the Faculty Affairs Committee for good cause. The notification of the scheduled hearing given to the faculty member will include the names of the witnesses against the faculty member and the nature of the testimony of each. The Faculty Affairs Committee's hearing will be closed unless the affected faculty member requests that it be open.

- 9.4 Witnesses and Representation: Witnesses in addition to those listed on the written notification given to the faculty member may be added to the list later for good cause. The faculty member has the right to confront all adverse witnesses. Where unusual and urgent reasons move the Faculty Affairs Committee to withhold this right, or where the witness cannot appear, the identity of any witness and any statement made should nevertheless be disclosed to the faculty member. Subject to these safeguards, statements from witnesses may, when necessary, be taken outside the hearing and reported to it.

Both the faculty member and the university have the right to be represented by an advisor, to call witnesses, to question all witnesses who testify orally, to have a full stenographic record or electronic recording of the proceedings, and to be provided with access to the record of the proceedings with the right to copy such records. The Faculty Affairs Committee should allow oral arguments and written briefs by the president of the university or designated representative and by the faculty member or designated representative.

- 9.5 Findings: The Faculty Affairs Committee must formulate explicit findings with respect to each of the grounds for removal presented and must recommend whether, in its judgment, there is good cause for dismissal. In cases concerning an untenured faculty member whose term of appointment has not expired, committee deliberations and findings must be limited to whether the university's decision to dismiss was legal and did not violate either System policies or the academic freedoms of the faculty member.

The committee's recommendation must be given in writing to the president no later than 15 days after the hearing is completed. If the president proceeds with the dismissal, they must forward all documentation related to the dismissal and hearing proceedings to the chancellor, who must have 20 days to review the materials and to make the final decision regarding the dismissal, and/or suspension without pay pending dismissal, or to return the materials to the president for a follow-up hearing before the Faculty Affairs Committee if additional information that was not available to the president or the Faculty Affairs committee during their reviews is identified. Any follow-up hearing must occur

within 10 days of receipt of the materials returned from the chancellor, must be subject to the guidelines already described in this section, and must adhere to the recommendation and review process described earlier in this paragraph. The effective date of any dismissal will be determined by the chancellor. This decision is final.

10. ANNUAL PERFORMANCE REVIEW

- 10.1 Purpose of Faculty Annual Performance Reviews: The annual review constitutes part of the ongoing process of communication between the faculty member and the university in which both institutional and individual goals and programmatic directions are clarified, the contributions of the faculty member toward meeting those goals are evaluated, and the development of both the faculty member and the university is enhanced. In all cases, the annual review will serve as the primary written documentation for evaluation of job performance in the areas of assigned responsibility, and as the primary basis for merit salary increases not related to promotion in academic rank.

The best interests of the entire university—administration, faculty, and students alike—demand that tenure-track and professional-track faculty receive detailed, written, constructive feedback on a regular and timely basis relative to the faculty member's progress toward eventual tenure and promotion. If areas of deficiency are present, they should be noted in detail, and specific actions to remedy those deficiencies should be provided. Subsequent feedback should specifically address the appropriateness of the faculty member's response to these concerns and suggested remedial actions, plus any further concerns. Annual reviews should be conducted in an environment of openness and collegiality, with an emphasis on constructive development of the individual faculty member and the institution. The person or persons conducting the annual reviews will be determined by the faculty and administrators of each college and the scheduled dates of the reviews should be clearly communicated to each faculty member each year. Furthermore, the annual reviews should proceed based on the established criteria and standards developed by each college and should utilize the university's annual performance review document.

If performance of a faculty member seeking tenure does not show progress toward meeting institutional expectations, action should be taken to not renew the appointment of the individual based on annual performance reviews prior to the final tenure review.

- 10.2 Evaluation by Rank and Track: The focus of the annual review process will vary from rank to rank. An unsatisfactory rating in any one area (e.g. teaching effectiveness, professional responsibility, research, creative endeavors, or service) will require the implementation of a written short-term development plan for the faculty member, including performance improvement benchmarks.
- 10.3 For tenured or tenure-track faculty, the annual review must consider that progress in a scholarly career is a long-term venture; therefore, a three- to five-year horizon may be necessary for the accurate evaluation of scholarly progress. For tenure-track faculty members, the review process will be used to identify the faculty member's progress toward promotion and tenure (if applicable), and some indication of this progress should be included in the reviewer's comments.

- 10.4 For a faculty member on a professional-track appointment, the annual review will proceed with reference to all of the specific areas of responsibility included in the initial letter of appointment (and any additional requirements made during previous annual reviews). This should include information about how much the faculty member's position each area of responsibility comprises. This process should give relatively more emphasis to shorter-term performance goals that increase the potential for reappointment. For professional-track faculty members, the review process will be used to identify the faculty member's progress toward promotion (if applicable), and some indication of this progress should be included in the reviewer's comments.
- 10.5 Administration of Performance Reviews: Annual performance reviews of faculty will utilize the university's annual performance review form. This form requires a self-assessment from each faculty member. A faculty member's report on their activities must be focused on only the previous academic or calendar year (depending on the guidelines established by the department and/or college) and should include commentary on both the status of longer-term projects and the broader context in which their annual activities have occurred. As mandated by the form, the review must address the faculty member's teaching (and professional responsibilities of professional-track faculty), scholarship and/or creative activity, and service. Faculty members (with permissible input from their reviewers) must also establish performance goals for the upcoming year, and (when applicable) evaluate their own progress regarding the goals set for themselves during the previous year's performance review.

The department chair (or dean, if the chair is not available) will summarize their evaluation and expectations of the faculty member's performance for the year on the university's annual performance review document. The faculty member will indicate receipt of this review by signing the document and will have the right to append a statement to the document in response to the written comments of the evaluator. This annual performance review, and any related documents, will become a part of the faculty member's personnel file. A conference will be held between the reviewer and the faculty member to discuss the written review and expectations for the coming year. In some cases, more frequent meetings between the faculty member and the reviewer may occur for purposes of performance review. Either the reviewer or the faculty member may initiate these more additional meetings.

- 10.6 Fourth-Year Review for Tenure-Track Faculty: Because a tenure-track appointment represents a significant investment on the part of both the university and the faculty member, all tenure-track faculty members will be required to complete a fourth-year review to help them realize their fullest potential during their probationary period. This review will serve to more thoroughly document and assess the candidate's progress toward tenure and to provide more in-depth feedback to focus and prioritize the faculty member's efforts in each of the three primary evaluation categories for the remainder of their probationary period. This review requires the faculty member to create a portfolio containing the items listed in section 3.8 of this rule. The substance and process of the fourth-year review is given in University Procedure *12.02.99.D0.02, Fourth Year Review for Tenure-Track Faculty*.

11. POST-TENURE REVIEW

Post-tenure review at A&M-Central Texas applies to tenured faculty members and is

comprised of annual performance reviews by the department chair (or the individual responsible for conducting the annual evaluation) as well as a comprehensive review by a committee of peers that occurs not less frequently than once every six years. Post-tenure review is intended to promote continued academic professional development and to enable a faculty member who has fallen below performance norms to pursue a peer-coordinated professional development plan and return to expected levels of productivity. System Policy *12.06, Post-Tenure Review of Faculty and Teaching Effectiveness*, and University Standard Administrative Procedure *12.06.99.D0.01, Post-Tenure Review*, both provide supplemental guidelines for post-tenure review.

12. PROFESSIONAL-TRACK FACULTY

12.1 This rule supplements System Policy *12.07, Fixed Term Academic Professional Track Faculty*, and recognizes the occasional need to appoint full-time faculty members in addition to regular tenured or tenure track full-time faculty. Individuals who are appointed to a professional track position should be carefully selected and uniquely qualified. They should be faculty who provide specialized services in support of the mission of the university. Appointment and promotion of professional track faculty at A&M -Central Texas must be based upon the experience and academic background of the candidate as well as the needs of the academic program. When it meets the needs of the university, qualified professional-track candidates with rank from prior institutions may be eligible to be appointed with rank at A&M-Central Texas. Professional-track faculty are not tenure eligible, though they may apply for promotion in rank.

12.2 Professional-Track Faculty Positions: Appointment to a professional faculty rank ordinarily requires completion of the appropriate terminal degree. Exceptions to this requirement may be made only by permission of the president of the university based on the recommendation of the provost after confirmation of the appropriate faculty credentials. No more than 20% of the positions in any given college will be designated as professional track without the permission of the president.

In compliance with University Procedure *12.03.99.D1.01, Faculty Workload*, deans, department chairs, and the provost are jointly responsible for ensuring workload equity between professional-track and tenure-track faculty. The specific terms of employment for all professional-track faculty must be detailed in the appointment letter, including the necessary teaching, research and/or service requirements, such as assigned courses and course load, student advising, patient care, committee assignments, administrative responsibilities, independent and/or collaborative research responsibilities, etc. Professional-track appointment letters will indicate that the appointment is non-tenure-track and will expire upon the completion of the appointment unless the appointment is extended, converted or the faculty member is dismissed prior to the end of the appointment period.

12.3 Position Titles: The position title selected for a professional-track faculty position must be approved by the appropriate dean and the provost and must not be readily confused with traditional tenure and tenure-track designations. Within the position title, the individual's rank will be designated commensurate with the individual's credentials and/or experience. For example, a lecturer will be designated assistant lecturer, associate lecturer, senior lecturer, and similarly with Research or Clinical Faculty. Visiting faculty typically receive fixed-term, non-renewable appointments and therefore will not have

designations of rank included in their title. Descriptions of the major categories of professional-track positions are given below.

- a) *Lecturer* receives a full-time teaching appointment with relatively heavier teaching loads and usually some service expectations and/or fieldwork to substitute for the lack of research expectations.
- b) *Visiting faculty members* receive annual, limited-term appointments, and (depending on the appointment) their duties may focus on teaching, research, or service. Ordinarily, a visiting faculty member either replaces a faculty member who is on leave or serves to facilitate faculty exchange programs with other universities.
- c) *Research faculty members* engage in research programs of major scope that benefit the university. Usually, these positions are at least partly supported by exterior funding sources and have minimal teaching or service expectations.
- d) *Clinical faculty members* are highly skilled and experienced practitioners (usually in nursing, health and behavioral sciences, social work, or teacher education) who address a specific need in a department or college. The duties of clinical faculty may or may not include teaching.
- e) *Librarians* receive a full-time appointment in the University Library & Archives with duties relevant to teaching and collection building. These positions have some service and research expectations.

It is possible for exceptionally experienced and/or qualified professional-track faculty member to receive an initial appointment with rank provided the provost approves a recommendation put forward by the faculty member's college dean at the time of the faculty member's initial appointment.

- 12.4 Terms of Appointment: Regardless of rank, initial appointments for all new professional-track faculty are for one academic year. These appointments may be renewed upon request to the provost from the appropriate supervisor. Professional-track faculty members who receive three consecutive ratings of above average or higher (based on the evaluation categories used by the candidate's respective college) from their supervisors on their annual performance reviews are eligible for three-year renewable appointments. All appointment renewal requests should be made in writing to the provost no later than April 1st of the academic year prior to the renewal appointment and should demonstrate that the ongoing program needs and the superior quality of the faculty member's performance during the past year (for 1-year renewals) or past three years (for 3-year renewals) warrant the appointment renewal. Professional-track faculty members who have three-year appointments will still be subject to annual performance reviews. A summer course load is not guaranteed for professional-track faculty with teaching responsibilities. No professional-track appointments may exceed three years in length.

12.5 Categories of Performance: Professional-Track Faculty

Professional-track faculty will be evaluated for promotion based on their accomplishments in three major categories of performance: teaching and professional

responsibility, service and scholarship. These accomplishments should be weighed given the expectations for their position in relation to each category—every professional-track position is different, and will require different degrees of teaching, professional responsibility, service, and scholarship. Each category should be considered an ongoing academic practice in which a faculty member is expected to grow and develop throughout their respective career. The evaluation of the performance of faculty members in these categories constitutes an exercise in academic judgment that is founded upon on a broad array of measurements and indicators, both quantitative and qualitative.

12.5.1 Teaching and Professional Responsibility: Effective performance in one's position, whether through teaching and/or professional duties, is a minimum expectation for granting promotion, and no positive recommendation for promotion at the university will be given when effectiveness is in doubt. Professional-track faculty are unique in that they may spend most of their time teaching, or they may be responsible for professional duties that intersect with the teaching mission of the institution, such as supervising a student-staffed clinic or aiding students on the library's reference desk. The uniqueness of each position should be considered when evaluating teaching and professional responsibility, based on the criteria set out in the faculty member's appointment letter.

1. Evaluation of Teaching Effectiveness: These evaluations should be as comprehensive as possible, and should systematically incorporate the feedback of students, supervisors, and peers over time regarding such things as rigor, engagement, innovation, how well the faculty member understands the development and dissemination of knowledge within their respective discipline, how well they establish an environment conducive to learning, how well they motivate students to think and analyze critically, how effectively they communicate, and to what degree they instill a genuine desire in students to continue learning. A listing of many specific measures and indicators that may be considered when assessing a faculty member's teaching effectiveness is included in the Appendix.
2. Evaluation of Professional Responsibility: These evaluations should be as comprehensive as possible, and should systematically incorporate the feedback of students, supervisors, and peers over time. This feedback may be varied, and could include aggregate user experience data, departmental satisfaction surveys, or other kinds of feedback, depending on the nature of the faculty member's position. This feedback should address issues such as the faculty member's level of engagement, innovation, competence, how well they understand the best practices and requirements of the position, how well they establishes an environment conducive to learning, how effectively they communicate, and how effectively they support student learning.

12.5.2 Service: Service that a faculty member renders in a professional capacity to the university, to the profession, and/or to the wider community will be considered when assessing qualifications for promotion in academic rank. Professional-track faculty may be required to complete an amount of service commensurate with other faculty, but they may also have greater or lesser requirements for service

depending on their position, defined in their appointment letter. The expectations for the professional-track position should be considered when reviewing a faculty member's service. The evaluation of a faculty member's service should consider the specific, positive and substantive contributions of the faculty member to the effective functioning of the service entity (i.e., committee, board, association, etc.), as well as the benefits and/or guidance provided by the faculty member to those who are being served (e.g., students, colleagues, clients). By themselves, memberships in and/or affiliations with service bodies are insufficient to establish a record of service. A listing of many specific types and measures that may be considered when assessing a faculty member's service is provided in the Appendix.

- 12.5.3 Scholarly or Artistic Endeavor: Scholarship may not be a significant part of the expectations for a professional-track faculty, or it may be an outsized portion of the position. The degree to which professional-track faculty are expected to participate in scholarship will vary, as with the other criteria, based on the individual faculty member's position expectations, defined in their appointment letter. However, all professional-track faculty are expected to develop within their discipline through scholarly activities that demonstrate currency and growth. Scholarship at A&M-Central Texas can be defined as those activities that systematically advance the teaching, research, and knowledge of academic disciplines through rigorous inquiry that 1) is significant to the discipline, 2) is made public, 3) is creative, 4) can be documented, 5) can be replicated or built on by other scholars, and 6) is available for peer review and critique according to accepted standards. For professional-track faculty, this may also include professional development through the attainment and maintenance of documented credentials pertinent to teaching or professional responsibilities, including additional degrees or courses for continuing education credit.

Notably, scholarship at A&M-Central Texas encompasses four possible areas critical of academic work, including the scholarship of:

- 1) discovery, where new and unique knowledge is generated;
- 2) teaching, where the professor creatively builds bridges between their own understanding and the students' learning;
- 3) application, where the emphasis is on the use of new knowledge to solve society's problems; and
- 4) integration, where new relationships among disciplines are discovered.

A faculty member's scholarly work should both contribute to their discipline or serve as an indication of professional competence and development. It should serve as a vehicle to enrich and inform the faculty member's instruction or professional performance. To qualify as scholarship or creative work, the results of a scholarly or artistic endeavor must be disseminated and subject to critical peer evaluation in a manner appropriate to the field in question, or must carry a documented credential, such as course credit or continuing education credit. However, scholarship and artistic endeavor may take many forms, and the criteria for judging the original or imaginative nature of research or creative work must derive from current and generally accepted standards in the applicable discipline

or professional area, as reflected in each college's performance criteria and standards document (see Section 3.7 of SAP 12.01.01.D1 *Institutional Rules for Implementing Tenure and Promotion*). A listing of many specific types and measures that may be considered when assessing a faculty member's scholarship and/or creative work is provided in the Appendix.

12.6 Guidelines for Appointment & Promotion of Professional-track Faculty:

12.6.1 Eligibility: Faculty members on the professional track who have a minimum of five years of service at the assistant rank are eligible for promotion to the rank of associate. Similarly, faculty members on the professional track who have a minimum of five years of service at the associate rank are eligible for promotion to the rank of senior. Promotions are awarded solely based on merit as indicated by a record of sustained excellence in the areas of responsibility assigned to a particular professional-track faculty member. Years of service at another regionally accredited college or university may be credited to a professional-track faculty member at the time of initial appointment and will be documented in their appointment letter.

12.6.2 Minimum Expectations: Faculty ranks are to be followed by the designated position title for the professional-track faculty member (e.g., assistant librarian, associate clinical faculty, senior lecturer, etc.). Notwithstanding the various criteria established by the candidate's respective college, minimum university expectations and guidelines for initial appointment and/or promotion in faculty rank are as follows:

- 1) Assistant: The candidate must demonstrate competence in the subject matter of the courses to be taught or their professional responsibilities by having completed an appropriate, discipline-specific doctorate or professional degree, and/or full-time teaching or appropriately related work experience, with evidence of the potential for success based on the expectations of the individual position, as outlined in the appointment letter.
- 2) Associate: The candidate must have completed a minimum of five years of service at the rank of assistant professional-track faculty member at an accredited college or university, must provide evidence of sustained competence and growth in the discipline, and must demonstrate contributions to teaching, professional responsibility, service, and scholarly or artistic endeavor commensurate with the expectations outlined in the appointment letter and against which they are evaluated. Evidence that the faculty member has both remained current and developed in their understanding of their discipline through scholarship or professional development should be present, though the appropriate amount and nature of the scholarship will be determined by their field, appointment letter, the documented expectations of their supervisor, and college and department guidelines.
- 3) Senior: The rank of Senior is the crowning achievement of professional-track faculty and is exemplified by individuals who are outstanding among their peers and who have achieved additional distinction that is clearly above that of an associate. The candidate for this rank must have completed a minimum

of five years at the rank of associate professional-track faculty member; must provide evidence of mastery in the discipline and a record of sustained excellence and development in teaching, professional responsibility, service, and scholarly or artistic endeavor commensurate with the expectations outlined in their appointment letter, against which they are evaluated. Evidence that the faculty member has been continuously committed to remaining current in their discipline through scholarship or professional development should be present, though the appropriate amount and nature of the scholarship will be determined by their field, appointment letter, the documented expectations of their supervisor, and college and department guidelines. That said, senior professional-track faculty should have some peer-reviewed, published scholarship that demonstrates inquiry and contribution to their discipline.

12.6.3 Application: Eligible professional-track faculty members who wish to apply for promotion should prepare a promotion portfolio. Each portfolio (i.e., dossier) must include a letter of recommendation from the candidate's direct supervisor (if their direct supervisor does not fill the role of a department chair in the promotion review process described in this rule), a curriculum vitae, a self-evaluation, and copies of annual performance evaluations from at least the last five years. Using the specific responsibilities enumerated in the faculty member's appointment letter as a guide, the faculty member (with the possible assistance of their department chair) should include additional evidentiary items in support of their promotion application in the portfolio. The lists of items in section 3.8 and the Appendix may also be useful references for this purpose. Departments may have additional requirements for portfolio.

12.6.4 Review Process: The candidate's electronic portfolio (i.e., dossier) must be submitted in the approved portfolio management system no later than the current promotion application deadline published by the Office of the Provost. The formal review process will be identical to that described in section 5.2.

12.7 Dismissal of Professional Track Faculty: A professional-track faculty member whose term appointment has not expired can be dismissed for cause according to the guidelines and procedures set forth in section 9. This is further outlined in System Policy *12.01, Academic Freedom, Responsibility, and Tenure*, section 6 and System Policy 12.07, *Fixed Term Academic Professional Track Faculty*, section 5. A professional-track member may also be dismissed because of cases of bona fide financial exigency or the reduction or discontinuance of an institutional program based on educational considerations set forth in section 6, System Policy *12.01, Academic Freedom, Responsibility, and Tenure*, section 9, and System Policy 12.07, *Fixed Term Academic Professional Track Faculty*, section 5.

13. FACULTY TRACK CONVERSION

13.1 Definition: In some cases, it may be in the best interest of a particular faculty member and/or the university for the faculty member in question to convert from one faculty track to another: either from professional-track to tenure-track or from tenure-track to professional-track.

13.2 Eligibility: Track conversions may be pre-specified and scheduled as part of a faculty member's initial appointment or requested at any time after the initial appointment at the faculty member's discretion.

13.2.1 Pre-specified (upon appointment): This arrangement is especially (but not exclusively) advantageous within certain professional or practitioner-oriented disciplines (e.g., nursing, social work) for which faculty candidates with terminal degrees are relatively few compared to other disciplines. Faculty candidates hired under this clause would typically have completed all their doctoral coursework but would not have defended their dissertations or thesis. In their initial appointment letter, these candidates would be given a defined grace period (typically 1 to 2 years) during which to complete their terminal degree. During this grace period such faculty members would serve as professional-track faculty, and as such would be subject to the normal performance review and term appointment renewal guidelines described in section 10.4 above. The duties allocated to the candidates during this time would be determined by the candidate, the department, and the provost based on the needs of the university. The duration of the grace period indicated in the appointment letter does not constitute a guarantee of employment: all professional-track faculty term appointments will be governed according to section 12.4.

If the faculty member successfully completes their terminal degree during the grace period, they will convert to tenure-track under the stipulations given in their initial appointment letter. Once the completion of the terminal degree has been confirmed by the university, a new appointment letter will be issued to the faculty member stating their new track, rank, and tenure and promotion eligibility dates. If the candidate does not complete their doctorate during the grace period specified in their initial appointment letter, his or employment may be terminated once the grace period expires.

Notwithstanding the above paragraph, in rare and extenuating circumstances faculty hired under this clause may be eligible for a grace period extension according to the guidelines for a probationary period extension in section 3.6.

During the grace period the faculty member will be considered professional-track faculty with respect to title, terms and renewals of appointment, and annual performance evaluations. Professional-track faculty members serving in a grace period as defined in this section are not eligible for promotion.

13.2.2 Discretionary (after initial appointment): At any point after the initial appointment, a faculty member on either track may request a track conversion. Unless a track conversion is pre-specified in the faculty member's initial appointment letter, faculty members may not be required or coerced to convert tracks or penalized for not doing so.

Faculty members who wish to convert tracks should discuss their eligibility/desire with their supervisor or chair. If the chair agrees that a conversion is warranted, they should write a recommendation to the dean of the college on the faculty member's behalf. If the dean approves the conversion, they should make a written recommendation to the provost on the candidate's behalf.

If the provost approves the track conversion (and the 20% rule is not affected by the conversion—see section 12.2), the candidate will be notified, and a new appointment letter will be issued explaining the terms of the new track (e.g., effective date—typically September 1st, rank, salary, job responsibilities, eligibility for tenure/promotion/term appointment renewal, etc.). The president reserves the right to make the final approval for track conversions that may affect the 20% rule stated in section 12.2.

- 13.3 Non-transferability of Years of Service: For purposes of determining eligibility for tenure or promotion, years of service will be transferred from one track to another as determined on a case-by-case basis as part of the application process described in section 13.2. Generally, it is more difficult to transfer years of service from professional-track to tenure-track positions since more performance categories apply to the latter than the former. Similarly, annual performance evaluations from one track may not be considered for purposes of tenure and/or promotion on another track unless a request to have those years transferred to the new track has been approved. Whether or not years of service are credited during a track transfer, a record of any performance evaluations conducted while on the former track will remain in the faculty member's personnel file.
- 13.4 Non-transferability of Rank: Faculty at A&M-Central Texas who have been promoted in rank in one track do not automatically maintain rank after converting to another faculty track. Upon request by the college, with supporting evidence, retention in rank can be negotiated as part of the track transfer process. Generally, it is more difficult to transfer rank from the professional-track to the tenure-track because more performance categories apply to the latter than the former.

14. UNFORESEEN CONTINGENCIES

Circumstances beyond those enumerated and described within this document will inevitably arise. In the event that an issue arises that is in any way connected to faculty tenure and promotion and that is not clearly addressed by any portion or portions of this rule, college and university administrators will proceed in their deliberations in good faith and a spirit of openness with the input of faculty (e.g., by soliciting the input of the Faculty Affairs Committee of the Faculty Senate). Furthermore, those involved in the deliberations will decide if the issue at hand merits only an idiosyncratic review/decision or if a formal revision/amendment to the current tenure and promotion rule should be initiated.

Related Statutes, Policies, Regulations and Rules

System Policy [12.01, Academic Freedom, Responsibility and Tenure](#)

System Regulation [12.01.01, Institutional Rules for Implementing Tenure](#)

System Policy [12.03, Faculty Academic Workload and Reporting Requirements](#)

System Policy [12.06, Post-Tenure Review of Faculty and Teaching Effectiveness](#)

System Policy [12.07, Fixed Term Academic Professional Track Faculty](#)

System Regulation [32.01.01, Complaint and Appeal Process for Faculty Members](#)

12.01.01.D1 Institutional Rules for Implementing Tenure and Promotion

University Rule [*12.01.99.D1 Academic Freedom and Responsibility*](#)

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