Tenure and Continuing Employment

Original Implementation: April 27, 1970 and April 3, 1979
Last Revision: October 18, 2011

Tenure may be awarded according to established procedures after an appropriate probationary period, or when an individual who already has tenure at another institution is hired for a senior-level position. Tenure is only awarded when candidates successfully demonstrate that they have met or exceeded performance standards in teaching, research/scholarly/creative accomplishments, and service as established by the academic unit. Tenure is awarded when the candidate successfully demonstrates meritorious performance in teaching, research/scholarly/creative accomplishment and service. Extensions of employment beyond the probationary period should not be construed as entitlement to tenure.

Tenure is only granted as prescribed in this policy. Tenure will normally be restricted to full-time faculty members who have earned the highest academic degree customarily awarded in their field of study. Exceptions may be granted by the provost and vice president for academic affairs.

This policy establishes procedures to be used for tenure in all academic units of the university. Academic units are responsible for establishing rigorous standards for teaching, research/scholarly/creative accomplishments and service for use in decisions regarding tenure. Unit standards must be approved by the dean and by the provost and vice president for academic affairs. Each college and the library shall also establish their own policies and procedures that are consistent with this policy. Academic units and the library are responsible for establishing standards of excellence in teaching, research/scholarship/creative work and service for use in decisions regarding tenure, as well as promotion and merit.

I. General Provisions
   A. Definitions
      1. “Tenure” is a status that may be earned by faculty members and librarians who hold academic rank as defined in policy 7.2, Academic Appointments and Titles. Tenure allows these personnel to continue in their positions, unless dismissed for good cause, circumstances of exigency, or discontinuance of a program or academic unit.
      2. “Academic unit” normally refers to a subdivision of a college, but can also refer to the library.
      3. “Academic unit chair/director/head” is the administrator immediately responsible for the academic unit.
      4. “Tenure review portfolio” (referred to hereafter as the portfolio) is a set of verifiable materials demonstrating evidence of a candidate’s credentials and suitability for tenure. The portfolio should contain a succinct, relevant, substantive and cumulative record of a candidate’s performance during the
probationary review period at Stephen F. Austin State University (SFA); for senior-level positions, the portfolio will consist of materials requested by the provost and vice president for academic affairs.

5. “Academic year” as used in this policy shall be the full nine month period from September through May.

B. Tenure Policy Principles

1. Recommendations for granting or denying tenure shall be based on a verifiable record of performance.

2. The required content of the portfolio and the academic unit criteria shall be available to the candidate and the reviewers.

3. The portfolio of all candidates within a given academic unit should conform to the same criteria, although variation related to the nature of the candidate’s activity is expected.

4. Tenure procedures must be applied consistently to all candidates within a college.

5. Each person in the review process has a professional responsibility to treat information that evaluates another’s work as confidential unless otherwise required by law.

6. Unconfirmed allegations of misconduct made against a candidate during the tenure review process shall not be considered by the reviewers. (But confirmed professional misconduct that occurred during the probationary period is a valid consideration).

II. Appointments

A. With the exception of special appointments clearly limited to a brief association with the university and reappointments of retired faculty members on special conditions, all full-time appointments eligible for tenure under Academic Appointments and Titles (7.2) shall be either 1) tenured or 2) probationary.

1. Tenured appointments shall require that, prior to the appointment, the candidate successfully complete tenure procedures specified in this policy.

2. Probationary appointments are subject to annual renewal at the university’s discretion and are made on the basis of several factors.

   a. A probationary faculty member’s tenure status and years of credit for probationary service will be specified in the initial appointment letter, along with any conditions.

   b. Beginning with full-time appointment to the rank of instructor or above, the probationary period for a faculty member shall not exceed six years, including within this period credit granted for appropriate full-time service in all institutions of higher education, unless extended as permitted by university policy.

   c. The portfolio must be submitted in the fall semester of the final year of probationary service, unless permission is granted by the provost and...
d. At the discretion of the provost and vice president for academic affairs, prior full-time service at another university may be counted toward fulfillment of the required probationary period for tenure at SFA. Normally this credited time is no more than two years and must be determined at the time of initial appointment to a tenure-track position.

e. Leaves of absence for appropriate scholarly reasons specified in Policy 12.11 will count as part of the probationary period, unless an exception to this provision is agreed to in writing at the time the leave is granted.

f. Leaves of absence for one semester or more due to health-related issues or military service as specified in Policy 12.11 shall not be counted toward fulfillment of the required probationary period, unless an exception to this provision is agreed to in writing at the time the leave is granted.

g. For purposes of calculating the period of probationary service, an “academic year” shall be the full nine-month period from September through May. If a faculty member begins service after September 1, the partial year shall not be counted toward fulfillment of the maximum probationary period.

h. The portfolio must be submitted in the fall semester of the final year of probationary service, unless permission is granted by the provost and vice president for academic affairs for earlier submission.

i. Circumstances may justify adjustment of the probationary period. It is the faculty member’s responsibility to provide documentation that demonstrates why an adjustment should be granted. This documentation must be submitted to and approved by the candidate’s academic unit chair/director/head, dean and then the provost and vice president for academic affairs.

B. Notice of reappointment will be in writing and will specify the probationary faculty member’s tenure status, years of credit for probationary service and any special conditions. Any special conditions contained in the initial appointment letter will continue to be in effect until expressly revoked by the provost and vice president of academic affairs after consultation with legal counsel, regardless of whether such special conditions were re-published in the annual contract letter.

C. Notice of non-reappointment, or of intention not to reappoint a faculty member, will be provided in writing according to the following prescribed schedule. Non-reappointment may be made for any lawful reason or no reason:

1. During the first year of probationary service, notice will be provided no later than March 1.

2. During the second year of probationary service, notice will be provided no later than December 15.
3. During subsequent years of a probationary appointment, the faculty member will be notified no later than August 31 that a terminal contract will be offered for the next full academic year.

III. Pre-tenure Reviews

A. Each college and its academic units shall establish a pre-tenure review process that is approved by the dean and the provost and vice president for academic affairs. Copies must be filed in the offices of the provost and vice president for academic affairs and the general counsel. Each faculty member’s progress toward tenure shall be formally reviewed at least once during the probationary period. The process must allow all tenured faculty members at the academic unit level, the academic unit chair/director, elected tenured faculty (one from each academic unit) at the college level, and the dean, and the provost and vice president for academic affairs to review probationary faculty materials. The candidate shall receive written feedback that includes strengths and weaknesses (with recommendations for addressing any weaknesses), a statement indicating whether the candidate is progressing satisfactorily toward tenure, and a recommendation concerning the continuation of appointment. At a minimum, pre-tenure reviews must be conducted according to the following schedule:

1. Faculty fulfilling a six-year or five-year probationary period must be reviewed in the third year of probationary service.
2. Faculty fulfilling a four-year or three-year probationary period must be reviewed in the second year of probationary service.

B. A college or academic unit may develop a mentoring system to assist probationary faculty in their professional development.

IV. Tenure Reviews

A. The academic unit, with approval of the dean and the provost and vice president for academic affairs, will establish tenure criteria for teaching, research/scholarly/creative accomplishments and service. Each college and its academic units shall also establish a tenure review process that is approved by the dean and the provost and vice president for academic affairs. Copies must be filed in the offices of the provost and vice president for academic affairs and the general counsel. The process must allow all tenured faculty members at the academic unit level, the academic unit chair/director, elected tenured faculty (one from each academic unit) at the college level, and the dean to review probationary faculty materials. All candidates for tenure will be evaluated based upon criteria in place as of September 1 of the third probationary year the candidate’s pre-tenure review.

Comment [DD1]: I recommend changing this to the criteria in place as of “the candidate’s pre-tenure review.” Drawing the line at the third year makes sense for 5 or 6 year probationary faculty, but could cause issues for 3 or 4 year probationary faculty.
P. Provost and Vice President for Academic Affairs. Academic unit heads and deans may consider other pertinent information during the review process. The academic unit, with approval of the dean and the provost and vice president for academic affairs, shall establish tenure criteria for teaching, research/scholarly/creative accomplishments and service.

B. During the academic year prior to the year of the tenure review, the academic unit chair/director/head shall meet with the candidate to discuss the tenure review process including the requirements for preparation of the portfolio, which is due the following fall semester.

1. A candidate must apply for tenure in the final year of probationary service, according to the date specified in the initial contract and/or the schedule set by the provost and vice president for academic affairs.

2. Candidates are responsible for preparing and submitting a portfolio that demonstrates how the candidate meets or exceeds the tenure criteria. The portfolio should consist of all relevant supporting materials, including a table of contents, current vitae, all annual faculty activity performance reports, all pre-tenure reviews, all administrative evaluations, all student evaluations while at the university since the candidate’s pre-tenure review and other materials that may be required by the academic unit. The candidate may consult with the academic unit chair/director/head (or dean) in preparation of the portfolio.

3. Faculty members in administrative positions will submit their portfolio to their immediate supervisor who will receive recommendations and supporting comments from the tenured faculty reviewers at the academic unit and college levels. In all other respects the review process for faculty in administrative positions will be consistent with the approved faculty review process for their college.

4. Faculty members with concurrent appointments in two academic units and/or two colleges will be evaluated by both academic units and/or colleges.

C. The candidate shall be notified in writing within five (5) class days after the academic unit chair/director/head completes all recommendations regarding applications for tenure. Within five (5) class days of reviewing the written recommendation and supporting comments, the candidate may attach a letter of response addressing errors of fact in the recommendation. Such a notification and any subsequent response by the candidate will become part of the candidate’s portfolio.

D. The candidate shall be notified in writing within five (5) class days after the college tenure committee and dean complete all recommendations regarding applications for tenure. Within five (5) class days of reviewing the written recommendation and supporting comments, the candidate may attach a letter of response addressing errors of fact in the recommendation. Such a notification and
any subsequent response by the candidate will become part of the candidate’s portfolio.

E. The complete portfolio shall then be submitted to the provost and vice president for academic affairs for review. The provost and vice president for academic affairs shall submit the complete portfolio and a recommendation to the president and notify the candidate of the recommendation.

F. The president shall review the complete portfolio and recommendations and any other evidence deemed pertinent as a basis for a recommendation to the Board of Regents.

G. A recommendation by of the president for tenure must be approved by the Board of Regents. Tenure may only be granted by official action of the Board of Regents. Within the next class day following the action of the Board of Regents, each candidate shall be notified in writing of the board’s action by the provost and vice president for academic affairs.

V. Termination and Non-Renewal of Contracts Procedural Guarantees

A. Tenured or Probationary Faculty with an Unexpired Appointment Extending Beyond the Date of Proposed Dismissal

1. Good cause for the dismissal of a tenured regular faculty member whose specified term of employment has not expired, or probationary faculty member whose specified term of employment has not expired for the revocation of tenure for purposes of dismissal, includes but is not limited to: moral turpitude; conviction by trial court of any felony; professional incompetence; substantial neglect of professional responsibilities; finding of sexual harassment/misconduct or discrimination under policies 2.11 and/or X.XX2.13; bona fide financial exigency or phasing out of programs or an academic unit requiring faculty reduction; and physical or mental disability of a continuing nature rendering the faculty member unable to perform professional responsibilities of the position.

2. The burden of proof that good cause exists for dismissal rests with the university. The burden of proof shall be by preponderance of the evidence.

3. Dismissal shall be preceded by discussion between the faculty member and appropriate administrative officers of the university. If a mutually agreeable settlement cannot be achieved, a written statement of specific charges shall be prepared by the president or the president’s designee.

4. If a written statement of specific charges is issued, the faculty member has the right to a hearing by a hearing committee of the grievance panel. Notice of the hearing with specific charges in writing shall be served at least twenty (20) calendar days prior to the hearing. Hearings should be completed by the end of the semester in which the faculty member has been served with the notice of hearing and specific charges, or by the end of the fall semester if notice is served.
During the summer without undue delay. At the faculty member’s option, the hearing may be open or closed. The hearing will be private and confidential, to the extent allowed by law, unless the faculty member elects to have a public hearing.

a. The hearing committee shall be comprised of seven members selected from the grievance panel; three shall be selected by the faculty member, three by the president’s designee and one by random selection. The faculty member and the university may each challenge the selection of two committee members without stated cause. In the event the faculty member fails to make his/her selection, the three individuals will be selected by random. If a selected member of the hearing committee deems themselves biased, they will remove themselves and an alternate selection will be made using the same procedure that named the removed committee member.

b. The hearing committee shall assign members’ roles and establish procedures to carry out its responsibilities in a manner that affords both parties due process and fairness. At a minimum, both parties have the right to appear in person at the scheduled time, present all evidence that is relevant or material to the matter, and introduce and cross-examine witnesses.

c. The faculty member may have an advisor present at the hearing; however the advisor may only consult and advise the faculty member and is not permitted to participate in the hearing.

d. At least five (5) calendar days prior to the hearing, the faculty member and president’s designee will provide the hearing committee and each other with copies of any evidence to be used at the hearing, the names of witnesses to be called, and a summary of each witnesses’ expected testimony.

e. The hearing committee will not be bound by strict rules of legal evidence and may consider any evidence of probative value. The committee’s findings of fact and recommendation will be based solely on the hearing record.

f. The hearing committee, by a majority of its total membership, will make written findings on each charge and recommendations. The findings and recommendations will be based solely on the hearing record. The hearing committee’s findings, recommendations, and the basis for them will be communicated in writing to the faculty member and the president. It will be accompanied by a verbatim written record and audio recording of the hearing.

g. If the hearing committee concludes that good cause for dismissal has not been established by the evidence in the record and the president rejects the committee’s recommendation, the reason for doing so shall be stated in writing to the committee and the faculty member. The president will provide
a reasonable time for response before presenting the case to the Board of Regents.

5. When it is the president’s final judgment to recommend dismissal, the recommendation, a verbatim written record of the hearing, and the report of the hearing committee shall be presented to the Board of Regents.

a. If the recommendation of the president for dismissal conflicts with the recommendation of the hearing committee, the Board of Regents will review the case based on the record of the hearing, with opportunity for argument by the faculty member and president’s designee.

b. If the recommendations of the president and the hearing committee are in accord, the Board of Regents may choose to limit its review to the record of the hearing. The Board of Regents chair will communicate the decision in writing through the president to the chair of the hearing committee and the faculty member.

5.6. Pending action by the Board of Regents the faculty member may be suspended without pay and immediately removed from the university, or assigned to other duties with pay, if the faculty member: (1) poses a continuing danger to persons or property; (2) disrupts the orderly operation of the university; (3) endangers the education of students; or (4) has been convicted by a trial court of a felony or crime of moral turpitude. In cases of suspension or reassignment, the president shall set a hearing before the appropriate administrator or committee on the faculty member’s case as soon thereafter as is practical unless otherwise waived by the faculty member.

6.7. Faculty members with tenure subject to termination on the basis of failure to complete a plan for assisted development post tenue review shall be given the opportunity for referral of the matter to a nonbinding alternative dispute resolution process as described in Chapter 154, Civil Practice and Remedies Code, or other type of alternative dispute resolution as mutually selected by the faculty member and president or president’s designee.

B. Probationary Faculty Whose Contract is Not Renewed

1. A probationary faculty member who has been notified of non-reappointment may appeal only on presentation of a prima facie case that constitutional guarantees or academic freedom was violated. Appeals shall adhere to the following schedule:

   a. Non-reappointment on or before March 1 during the first year of probationary service must be appealed within 30 days of notification.

   b. Non-reappointment on or before December 15 during the second year of probationary service must be appealed within 60 days of notification.

   c. Non-reappointment during a subsequent year of probationary service must be appealed within 30 days after the beginning of the next fall term.

2. The burden of proof for allegations of abridgement of constitutional guarantees or...
academic freedom is upon the probationary faculty member. The burden of proof shall be by the preponderance of the evidence.

3. A faculty member who alleges abridgement of constitutional guarantees or academic freedom shall present evidence to a grievance panel advisory committee.
   a. The committee shall be comprised of five members selected from the grievance panel; two shall be selected by the faculty member, two by the president’s designee, and one by random selection. The faculty member and the university may each challenge the selection of one committee member without stated cause. In the event the faculty member fails to make his/her selection, the two individuals will be selected by random.
   b. The committee shall assign members’ role and establish procedures to carry out its responsibilities.
   c. The faculty member may have an advisor present at the hearing; however, the advisor may only consult and advise the faculty member and is not permitted to participate in the hearing.
   d. At least five (5) calendar days prior to the hearing, the faculty member and president’s designee will provide the committee and each other with copies of any evidence to be used at the hearing, the names of witnesses to be called, and a summary of each witnesses’ expected testimony.
   e. Hearings should be completed by the end of the semester in which the appeal is filed or by the end of the fall semester if an appeal is filed during this summer.

4. If the advisory committee finds probable cause that there was an abridgement of constitutional guarantees or academic freedom, conferences between the faculty member and appropriate administrative officers of the university will be scheduled. If the conferences fail to achieve a mutual settlement, the faculty member’s institutional due process is completed.

5. If the advisory committee finds no probable cause that there was an abridgement of constitutional guarantees or academic freedom, the faculty member’s institutional due process is completed.

6. A written report of the advisory committee’s finding will be sent to the president and to the faculty member.

Cross Reference: Academic Appointments and Titles (7.2); Leave of Absence (Faculty) (12.11); Academic Freedom and Responsibility (7.3); Post-Tenure Review (7.22); Discrimination Complaints/Sexual Harassment (11.5); Tex. Educ. Code § 51.942(d); Faculty Code of Conduct (7.11).
**Responsible for Implementation:** President

**Contact for Revision:** President

**Forms:** Faculty Activity Report; Administrative Evaluation; Promotion/Tenure Application

**Board Committee Assignment:** Academic and Student Affairs