

STEPHEN F. AUSTIN  
STATE UNIVERSITY

Office of the General Counsel

**POLICY SUMMARY FORM**

**Policy Name:** File Maintenance for Faculty Personnel Files

**Policy Number:** 4.6

**Is this policy new, being reviewed/revised, or deleted?**    Review/Revise

**Date of last revision, if applicable:** 7/28/2015

**Unit(s) Responsible for Policy Implementation:** Provost and Vice President for Academic Affairs

**Purpose of Policy (what does it do):** To meet SACs requirements, the following guidelines have been established to address the contents of the file and the designated office responsible for maintaining the file.

**Reason for the addition, revision, or deletion (check all that apply):**

- ☒ Scheduled Review      ☐ Change in law      ☐ Response to audit finding  
☐ Internal Review      ☐ Other, please explain:

*Please complete the appropriate section:*

**Specific rationale for new policy:**

**Specific rationale for each substantive revision:** Updated titles.

**Specific rationale for deletion of policy:**

*Additional Comments:*

Reviewers:

Academic Affairs Policy Committee  
Steve Bullard, Provost and Vice President for Academic Affairs  
Damon Derrick, General Counsel

## File Maintenance for Faculty Personnel Files

**Original Implementation:** October 31, 2000

**Last Revision:** ~~July 28, 2015~~ January 29, 2019

The Southern Association of Colleges and Schools requires the university to keep documentation on file of academic preparation for all full-time and part-time faculty members. Documentation includes official transcripts, and, if appropriate for demonstrating competency, official documentation of professional and work experience, technical and performance competency, records of publications, certifications, and other qualifications. To meet this requirement, the following guidelines have been established to address the contents of the file and the designated office responsible for maintaining the file.

### **Filed in the Office of the Provost and Vice President for Academic Affairs:**

Full-time academic rank faculty

- Recommendation for Appointment form
- Signed contract issued by the Office of the Provost and Vice President for Academic Affairs
- Curriculum vitae
- Official transcripts from all degree granting institutions attended
- Three letters of reference
- Faculty Certification of Credentials form for those faculty who do not hold the terminal degree or whose terminal degree is outside the discipline in which they are teaching

### **Filed in the Office of the College Dean:**

Adjunct faculty, designated 4.5 to 9 months faculty, non-tenure track faculty

- Signed contract issued by the dean's office
- Curriculum vitae
- Official transcripts from all degree granting institutions attended or verification that official transcripts are in the Office of the Provost and Vice President for Academic Affairs
- Three letters of reference
- Faculty Certification of Credentials form for those faculty who do not hold the terminal degree or whose terminal degree is outside the discipline in which they are teaching

Graduate teaching assistants (when instructor of record)

- Curriculum vitae
- Official transcripts from all degree granting institutions attended or verification that official transcripts are in the ~~Office of the Dean of the Graduate School~~ *Office of Research and*

*Graduate Studies.*

- Three letters of reference
- Faculty Certification of Credentials form

**Note:** See Academic Appointments and Titles (7.2) for definition of titles.

**Cross Reference:** Academic Appointments and Titles (7.2); Faculty Handbook

**Responsible for Implementation:** Provost and Vice President for Academic Affairs

**Contact for Revision:** Provost and Vice President for Academic Affairs

**Forms:** Recommendation for Appointment form, Faculty Certification of Credentials form

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