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Faculty Appointment and Advancement

The Sam Houston State University College of Osteopathic Medicine (SHSU-COM) is the 8th College of the University. Since SHSU is a member of the Texas State University System (TSUS), there are TSUS level policies and procedures, SHSU level/institutional policies and procedures, and SHSU-COM level policies and procedures. Therefore, the policies and procedures have been adopted, updated, and/or developed for the SHSU-COM faculty.

Included below are clear policies and procedures for faculty appointment, credentialing, renewal of appointment, promotion, granting of tenure, and remediation. Each faculty member will be provided with written information about his or her term of appointment, responsibilities, lines of communication, privileges and benefits, performance evaluation and remediation, terms of dismissal, and due process.
1. GENERAL

Sam Houston State University endorses the views of the United States Supreme Court in *Grutter v. Bollinger* (2003) that the educational benefits of diversity “are not theoretical but real;” that they include “cross-racial understanding;” the breaking down of racial stereotypes; and the promotion of learning outcomes. Founded as a normal school for white teachers over a century and a quarter ago, the University’s considered academic judgment is that the antiquated biases of the majority-dominant nineteenth century have no application or relevance in a twenty-first century of global cultures and marketplaces and that a diverse faculty best prepares students to meet those challenges; that “the skills needed in today’s increasingly global marketplace can only be developed through exposure to widely diverse people, cultures, ideas, and viewpoints;” and, that “[e]ffective participation by members of all racial and ethnic groups in the civic life of our Nation is essential if the dream of one Nation, indivisible, is to be realized.”

1.01 This revised policy statement incorporates the provisions of Academic Policy Statement 810729, Affirmative Action Procedures for Filling Faculty Positions, which has been rescinded.

2. INSTRUCTIONAL STAFFING

2.01 The University assumes responsibility for instructional staffing, and it is expected that all instructional personnel shall be employed in accord with the procedures established in this policy.

2.02 Instructional personnel are defined to include those persons who are employed principally to perform instructional duties, i.e., classroom teaching and the directing of research.

3. COMMITMENT TO DIVERSITY

3.01 The overall responsibility for the implementation and administration of Diversity Plans is included in the job duties of the President of Sam Houston State University. As the chief administrator, the President has delegated to the vice presidents, deans, directors, department/school chairs, the authority and responsibility for diversity plans and procedures at each corresponding level. Each of these individuals is expected to put forth a good-faith effort to ensure
the success of this plan, and each will be evaluated as to their diversity efforts and results on the same basis as other work performance criteria.

3.02 For purposes of clarification, the term “academic administrative unit” and herein also referred to as “academic unit” and “hiring unit” is:

a. An academic department/school, the administrator of which is a chair; or

b. The Newton Gresham Library, the administrator of which is a director.

c. A chair reports to the Provost and Vice President for Academic Affairs through the appropriate academic dean; the Library Director reports directly to the Provost and Vice President for Academic Affairs.

3.03 Sam Houston State University, as part of its Diversity Plan, is committed to a rigorous recruitment and selection system to ensure the consideration of a diverse pool of candidates for each vacant faculty, teaching assistant, and laboratory assistant position. It is expected that consideration will be given to attracting and selecting qualified candidates reflective of the diverse populations that comprise the State of Texas.

4. POSITION ALLOWANCE

A position allowance is defined as an authorized allocation for faculty staffing which provides the basis for the assignment of instructional personnel to academic program areas of the University.

5. TYPES OF POSITION ALLOWANCES

5.01 Each position allowance shall be categorized as either a tenured position, a tenure-track position, or a term position.

5.02 A tenured position is one in which the occupant holds tenure as a member of the faculty of the University in accord with established tenure policy.

5.03 A tenure-track position is one in which the occupant is expected to progress toward a tenure decision in accord with established University policy.
5.04 A term position is one which is allocated to an instructional program on a term basis, i.e., for one or more semesters or during a summer on either a part- or full-time basis. The University makes no commitment to either a faculty member or to an administrative unit regarding the future of a term position allowance beyond the specified period.

6. ALLOCATION PROCESS FOR POSITION ALLOWANCES

6.01 During the preliminary budget request (PBR) cycle each academic dean/director will develop and present to the Provost and Vice President for Academic Affairs a statement of position allowance needs.

a. This statement shall be presented in accord with instructions included as a part of the PBR cycle.

b. The statement shall address the number of position allowances required for tenured faculty, the number required for tenure-track faculty, and the number requested for term appointments.

6.02 The Provost and Vice President for Academic Affairs shall review all requests for positions, whether for new positions, vacated positions, or reallocation of existing positions, and shall develop recommendations concerning position allowances which shall be forwarded to the President of the University as soon as possible but no later than the beginning of the next fiscal year.

6.03 The President of the University shall make the final decision regarding the allocation of position allowances and shall inform the Provost and Vice President for Academic Affairs as early as possible so that a maximum amount of time can be utilized for program planning and the associated recruitment of personnel.

6.04 Generally, it may be assumed that the number of position allowances for tenured and tenure-track positions shall be reaffirmed annually, provided the occupants of these positions do not change. However, the number of tenure or tenure-track positions assigned to an academic unit may be subject to review at any time.

6.05 As a matter of policy, at any time a tenured or tenure-track position is vacated, it ceases to exist. It may not be recruited for or filled until the status of the
position is confirmed to the appropriate academic dean/director by the Provost and Vice President for Academic Affairs.

6.06 A term position is authorized for a specific period of time only, not to exceed one academic year. It is subject to reallocation.

7. FACTORS INFLUENCING THE ALLOCATION OF POSITION ALLOWANCES

7.01 The criteria which shall influence the assignment of position allowances among the academic units include:

a. The number of full-time equivalent (FTE) position allowances presently assigned to the program.

b. The student/teacher ratio, as applicable, in that particular program.

c. The current role and scope of the program.

d. The projected goals and objectives established for the program in the academic master plan of the University.

e. The degree and course inventory approved for the program by the Texas Higher Education Coordinating Board.

f. Data for the most recent five-year period reflecting the number of majors associated with the program, the semester credit hour productivity for each of the five years, and degree production during each of the five years.

g. The cost of instruction associated with the revenue generated on the basis of the state formula rate.

8. RECRUITMENT FOR POSITION ALLOWANCES

8.01 Once a position allowance has been officially allocated to an academic unit, recruitment for filling the position shall begin.

8.02 Create a posting and route through the required approval channels in the online employment system.
8.03 All faculty job vacancies are posted and publicized in accordance with University policy to maintain EEO compliance.

   a. It is the responsibility of the administrator of the hiring unit to ensure that, as a minimum, all faculty vacancies are posted in an appropriate professional publication or other outlet.

   b. All position ads must have approval of the department of Human Resources.

8.04 All full-time and part-time faculty vacancies will be posted for at least ten working days prior to filling a faculty vacancy.

8.05 Except in cases of bona fide, emergency a tenure/tenure-track faculty position vacancy will be advertised locally, statewide, and nationally. Advertisement takes place throughout the appropriate media. It is policy to advertise the position through professional journals, through professional organizations, and through notices to graduate schools producing specialties in the area of the vacancy (see Section 10).

8.06 An individual expressing an interest in employment is expected to complete the online employment application process and to furnish official transcript(s) of all academic work. Applicants deemed to be best qualified for the position are to be interviewed by the administrator of the Sam Houston State University hiring unit and, in the case of tenure-track and clinical faculty, by faculty members within the hiring unit. Utilization of search and screen committees in the selection process of new faculty appointments is encouraged. It is the responsibility of the administrator of the hiring unit to recommend through channels the priority list of the candidates deemed to be best qualified. It is expected that every possible consideration is to be given to attracting and selecting qualified minority candidates.

8.07 Criteria for selection from among the applicants include: competitive quality of academic transcripts; recommendations from prior employers; the caliber of previous academic and nonacademic work experience; established record of or potential for research publications or creative activity; and the alignment of the expertise possessed by the applicant with that required of the position.
9. HIRING PROCESS

9.01 The hiring unit will notify the Department of Human Resources as soon as it is determined that a sufficient number of applicants has been secured. The job will be placed in a “closed” status and advertising discontinued for that position. Additional applicants should not be considered unless the job is reopened with proper administrative approvals.

9.02 From each applicant, the hiring unit will request pertinent, job-related information (e.g., vitae, copies of research, teaching evaluations, compositions, and references). Using an initial screening device (referring to elements cited in the advertisement), the hiring unit will evaluate each candidate and may choose to invite one or more applicants to provide additional job related information or to visit the campus for a more detailed interview. During the campus interview the candidates may meet with the departmental/school chair and faculty, make a professional presentation, and be evaluated with respect to the posted job requirements. The hiring unit will develop job-related interview questions to be asked of all candidates during the interview. Questions and answers are to be recorded and maintained.

With the approval of the Provost and Vice President for Academic Affairs, the dean may immediately provide the candidate with a tentative letter of offer pending approval of the President and of The Texas State University System Board of Regents.

9.03 Once a priority list has been established, the administrator of the hiring unit presents a written recommendation through channels for the employment of the preferred candidate. Along with the proposed rank, salary level, and recommendation for years transferred for tenure purposes, the file will contain an SHSU faculty application, official transcripts, at least three letters of recommendation, the evaluation tool, criteria for ranking candidates, and the interview questions and answers. If the dean concurs, his/her written recommendation, along with the entire file is forwarded to the Provost and Vice President for Academic Affairs.

The dean, prior to an official offer to an applicant, will ensure AA/EEO compliance in the hiring procedure by reviewing the evaluation tool that shows how the candidate compared to the requirements for the position, the criteria used in the evaluation, and the interview questions and answers. Upon
favorable recommendation of the Provost and Vice President for Academic Affairs and the subsequent concurrence of the President, a letter of offer for the position will be issued to the successful candidate by the President with appropriate notification to the administrators involved.

9.04 When a signed response from the potential faculty member accepting the employment offer is received by the President, the position is considered to be filled.

a. Upon issuance of the appointment, a signed copy of the contract must be returned to the Office of the President as soon as possible but no later than October 1 (fall semester), February 1 (spring semester), June 15 (summer I term), or July 15 (summer II term).

b. Appointments to the faculty must be approved by the Board of Regents, The Texas State University System.

9.05 Each office within the recruiting/hiring function is expected to be prepared to offer cogent reasons with appropriate documentation for the endorsement or non-endorsement of preferred candidates.

9.06 Upon request, all applications for a faculty position may be examined by the appropriate academic dean, the Provost and Vice President for Academic Affairs, or the President.

9.07 It is the prerogative of the academic dean, the Provost and Vice President for Academic Affairs, or the President to request a reconsideration of the recommendation for employment if it is judged that a well-qualified minority candidate may have been omitted.

10. APPOINTMENT OF INTERIM FACULTY MEMBERS ON AN EMERGENCY BASIS

10.01 As a result of the need for unique academic expertise, unexpected increases in student enrollment or other unforeseen events, it may become necessary for the University to authorize the emergency employment of interim faculty members on a semester-by-semester or summer basis. In such cases, the following procedures will apply.
a. The University will identify areas where interim faculty have been needed in the past. Since the need to hire interim faculty to meet unexpected needs often does not allow sufficient time for an appropriate search, the University will maintain a constant posting of interim positions for which any qualified candidate may apply.

b. When an emergency need arises, the department/school chair in consultation with the dean will select interim faculty from this pool of applicants.

c. These postings will be constantly maintained throughout the academic year in anticipation of unexpected needs.

d. This requirement may be waived only under the most urgent circumstances by special permission of the Provost and Vice President for Academic Affairs.

e. The filling of such positions on an interim basis must be recommended by the appropriate academic dean/director and approved by the Provost and Vice President for Academic Affairs. Recommendation(s) for employment are to be accompanied by an official SHSU faculty application, official transcripts, letters of recommendation, and the Employee Statistical Data Sheet all of which are to be prepared and/or assembled by the hiring unit.

10.02 When an academic unit is forced to utilize the emergency hire provisions, the hiring manager will supply the Provost and Vice President for Academic Affairs a report outlining the details of the emergency hire(s) to include reasons for the hire(s), the date the hiring manager had knowledge of the vacancy, date the request was made for an emergency hire, and what efforts were made to conduct a regular search.

11. REQUIRED APPLICANT DATA AND RECORD RETENTION

11.01 The Rules and Regulations of the Board of Regents, The Texas State University System, Chapter V, Paragraph 2.11, require that “each university shall maintain records of all information required by the Equal Employment Opportunity Commission, the Department of Education, and the Department
11.02 An individual is considered to be an “official applicant” only when the applicant has completed the official online application.

12. RESPONSES TO FACULTY VACANCY INQUIRIES

12.01 Inquiries Made in Academic Departments/Schools. When a job inquiry is made directly to the hiring unit, the action taken will be dictated by the current staffing situation.

a. If a vacancy exists at the time of inquiry, a letter is sent by the hiring unit indicating that an enclosed application must be completed and returned to the hiring unit for consideration to be given, although applicants will be considered only for vacant positions for which they specifically apply. All applications received will be retained for record purposes by the hiring unit for 24 months.

b. If a vacancy does not exist at the time of inquiry, a letter should be sent (returning any credentials which have been received) to inform the inquirer that a vacant position does not exist at the time.

12.02 Inquiries Made in Department of Human Resources. When a job inquiry is made directly to the Department of Human Resources, the following actions will be taken.

a. Upon receipt of a telephone inquiry concerning a faculty job vacancy, the inquirer will be requested to contact the appropriate academic unit.

b. If a letter or other credentials are received concerning a faculty position, the Department of Human Resources will send the information to the appropriate academic unit.

13. RECRUITMENT AND HIRING OF TEACHING ASSISTANTS

13.01 The term “Teaching Assistant” as used at Sam Houston State University indicates a graduate student who is employed on a part-time basis, usually
one-quarter or one-half time, to teach laboratories and lower division courses under the supervision of a full-time faculty member.

13.02 Teaching Assistant positions are allocated by the appropriate academic dean based upon available funding. Once a preferred candidate has been selected by the hiring unit, it is the responsibility of the dean to make a written offer to the candidate. If the position is accepted, the dean will forward the entire personnel file to the Provost and Vice President for Academic Affairs. The file should contain an Application for Teaching Assistant, official transcript(s) at least three letters of recommendation, a EPAF, and other pertinent sign-up papers as required by the Department of Human Resources.

13.03 Information used in the selection of Teaching Assistants include but are not limited to: experience, academic credentials, and letters of recommendation.

13.04 Teaching Assistants at Sam Houston State University are expected to be enrolled in a graduate program and must maintain a minimum 3.0 grade point average.

14. RECRUITMENT AND HIRE OF LABORATORY ASSISTANTS

14.01 Laboratory Assistants may be either graduate or undergraduate students. Notices are generally posted on bulletin boards to inform students of the availability of these positions.

14.02 Laboratory Assistants may be employed by the hiring unit by submitting a EPAF and required sign-up papers through channels to the Provost and Vice President for Academic Affairs. Stringent efforts must continue to attract and select qualified minority students for these positions.

14.03 Important criteria for selection of Laboratory Assistants are grade point average and academic performance.

15. PROCESSING NEW FACULTY EMPLOYEES

15.01 As early as possible after the employment decision has been completed and before the starting employment date, the new faculty member should attend the scheduled orientation sessions.
15.02 It is the responsibility of the hiring unit to inform a new employee that this is to be accomplished as early as possible.

16. ELIGIBILITY FOR PAYROLL

16.01 To be eligible for pay, a new employee must complete all required forms in the University Department of Human Resources at the time of being entered on the payroll. A payroll check cannot be prepared without the completion of all required forms.

16.02 It is the responsibility of the hiring unit to inform each employee of this procedure and to ascertain that the new employee is in prompt compliance.

APPROVED: /signed/  
Dana L. Gibson, President  
DATED: 04/23/12

CERTIFICATION STATEMENT

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

Original Date: January 14, 1980  
Review Cycle: April 1, ENY*  
Reviewer(s): Academic Policy Council  
Council of Academic Deans  
Human Resources  
Review Date: April 1, 2014

Approved: /signed/  
Jaimie L. Hebert  
Provost and Vice President  
for Academic Affairs  
Date: 04/19/12

*ENY = Even Numbered Year
1. PURPOSE

The purpose of this academic policy statement is to provide general guidelines for insurance fringe benefits and sick leave accrual for interim faculty members.

2. INSURANCE FRINGE BENEFITS

2.01 An appointee to the interim faculty at Sam Houston State University qualifies for insurance fringe benefits if he/she is considered to be a "regular employee" as defined in paragraph 2.02 below. Interim faculty members that qualify as regular employees and who are not employed during the summer months are entitled to an employer contribution of the State fringe benefit appropriation toward their summer insurance premiums when there is a reasonable expectation of re-employment. Faculty who resign or whose employment is permanently or indefinitely terminated are not entitled to this benefit.

2.02 Regular employees for the purpose of this policy are defined as those individuals employed for one-half or more of the standard workload for a definite period of four and one-half months, or more.

2.03 Prepaid summer insurance premiums for interim faculty, deducted for June, July, and August, will begin with the October 15th paycheck or first available check thereafter and be pro-rated for the duration of time from hire to the end of the spring semester.

3. SICK LEAVE ACCRUAL

Interim faculty members whose service with the University is continued, under these provisions, may also have their hours of unused sick leave accrued on or after September 1, 1982, carried forward to subsequent years of employment. (See Academic Policy Statement 800301, Faculty Leave Policy.)

APPROVED: <signed>
Dana G. Hoyt, President

DATED: 5/11/18
CERTIFICATION STATEMENT

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

Original: April 1, 1983
Reviewer(s): Council of Academic Deans
            Faculty Senate
            Academic Affairs Council

Approved: < signed > Date: 5/15/18
           Richard Eglsaer
           Provost and Vice President
           for Academic Affairs

*Effective January 2018, Academic Policy Statements will be reviewed on a rotating 5-year schedule. To transition to a distributed review load, some policies may be reviewed prior to the 5-year timeframe, with subsequent reviews transitioning to the 5-year schedule.
1. GENERAL FEATURES OF THE FACULTY EVALUATION SYSTEM

1.01 The Faculty Evaluation System is established to provide an orderly, comprehensive approach to the evaluation of faculty performance at Sam Houston State University. The system is designed to maximize objectivity and minimize bias. The evaluation system is important for purposes of (1) faculty development, (2) promotion in academic rank, (3) rewarding meritorious performance through salary adjustments, (4) contract review for probationary faculty members, and (5) decisions concerning future contracts for non-tenured and non-tenure track faculty members.

1.02 The Faculty Evaluation System is intended to recognize and reward excellence serving to advance the mission and goals of the University. The Faculty Evaluation System (FES) recognizes that faculty members’ interests, strengths, and skills evolve throughout their careers (see Academic Policy Statement 790601, Faculty Instructional Workload). The University is best served by striving for a system that has enough flexibility to reward meritorious performance with enough structure to promote fairness and consistency. SHSU’s FES process evaluates faculty performance in each of three categories (see Section 1.03). The FES provides a table of weights (Table I) for both the normative nine-credit-hours-per-semester- and twelve-credit-hours-per-semester-workloads (see Academic Policy Statement 790601, Faculty Instructional Workload) and identifies the respective weights used in creating the final summary FES score (see Section 6).

1.03 The Faculty Evaluation System recognizes three categories for purposes of evaluation. These three categories are: teaching effectiveness, scholarly and/or creative accomplishments, and service. Each of these categories will be assigned a weight as specified in Table I, "Weights for Faculty Evaluation," attached to this policy statement. Teaching effectiveness is comprised of two inputs, the Chair’s Rating of Teaching Effectiveness (FES 1) and the Students’ Rating of Teaching Effectiveness (FES 2). The weights applied to the FES 1 and FES 2 scores are the same to ensure that both the chair’s and students’ ratings contribute 50% of the overall measure of teaching effectiveness. The respective colleges are responsible for the determination and development of specific performance standards to be evaluated in FES 1, FES 3, and FES 4. Input from faculty members at the department/school and/or program level is strongly encouraged in identifying specific performance standards that may be unique to a given
department/school or program. The University values continuous improvement efforts and encourages the incorporation of professional development standards within FES 1, FES 3, and FES 4. The categories used in the Faculty Evaluation System are similar to those identified in Academic Policy Statement 800722, Promotions in Rank and Advances in Salary Within Rank, and Academic Policy Statement 900417, Faculty Reappointment, Tenure, and Promotion.

1.04 Provisions are made in the Faculty Evaluation System for the following:

a. A rating of teaching effectiveness to be accomplished by combining the chair’s evaluation of faculty teaching effectiveness and the students’ evaluation of classroom teaching effectiveness. The chair’s evaluation will consider the general guidelines in Section 2. The students’ evaluation will follow the guidelines in Section 3.

b. A report of scholarly and/or creative accomplishments (FES 3) is to be completed by using the “Report on Scholarly and/or creative Accomplishments.” This report is to be completed by each faculty member as a means of indicating his/her scholarly and/or creative accomplishments. Each faculty member must submit the appropriate supporting documentation as required in the respective college’s FES policy to verify the scholarly and/or creative accomplishments (see Section 4.)

c. A report of service activities (FES 4) is to be completed by each member of the faculty as a means of indicating his/her service. Each faculty member must submit the appropriate supporting documentation as required in the respective college’s FES policy to verify his/her service activities (see Section 5).

d. A summary rating of each faculty member based upon FES 1 through FES 4 is to be completed by using the "FES Summary Report" (Attachment 1). This “FES Summary Report” is to be completed by the department/school chair and is to be signed by both the chair and the faculty member. A faculty member who fails to sign the FES Summary Report shall be ineligible for any merit increases based on productivity in the time period covered by the unsigned FES Summary Report. A faculty member who believes the FES Summary Report does not accurately
1.05 The “FES Summary Report” is to reflect faculty activity for the twelve-month period beginning January 1 of each calendar year and ending December 31 of the same calendar year. Should a faculty member change his/her workload during this twelve-month period, he/she will negotiate with his/her academic dean and chair to determine the weights from Table I to be used.

1.06 Should a faculty member receive an administrative FES X assignment (see APS 790601), the faculty member will receive a separate evaluation for the FES X assignment by the supervisor of the assignment as well as the FES 5 evaluation. The weights for FES 1, 2, 3, and 4 are not adjusted and the faculty member receives an FES 5-based merit recommendation as if he/she does not have a separate FES X assignment. In a like manner, the faculty member’s performance of the FES X responsibility is evaluated and a merit recommendation is made as if the FES X assignment is the faculty member’s sole responsibility. The final merit recommendation is the weighted average of the two merit recommendations. The weight for FES X is the proportional reduction in the teaching load and the weight for FES 5 “one minus the FES X weight.”

1.07 The timelines for the completion of the forms are to be established by the Provost and Vice President for Academic Affairs.

1.08 Evaluation for merit pay purposes should be based on data covering only the specific time period.

2. CHAIR’S EVALUATION OF FACULTY TEACHING EFFECTIVENESS

2.01 A department/school chair may decide to use a faculty committee to assist him/her in evaluating faculty teaching effectiveness.

2.02 Teaching may include, among other things, classroom and laboratory instruction; development of new courses, laboratories, and teaching methods; publication of and/or development of electronic instructional materials; and supervision of undergraduate and graduate students. The chair’s rating of faculty teaching effectiveness should be based on as much information as can be reasonably obtained. FES 1 Worksheet (see
Attachment 2) may be used. A variety of inputs are necessary to give the evaluation maximum validity. Two primary sources of information may be a teaching portfolio prepared by the faculty member and a conference with the individual being evaluated. Other inputs may include, but are not limited to, comments from students, student outcome measures, and results of assessment measures. Each college/department/school should define its own performance standards for the chair’s rating of faculty teaching effectiveness. Items that may be considered by the chairs include, but are not limited to:

Professionalism
- Adheres to scheduled class meeting times
- Is reasonably available for student conferences and counseling; maintains appropriate office hours
- Submits grades, reports, etc. in a timely manner
- Maintains appropriate professional demeanor in teaching situations
- Maintains high ethical standards of honesty and objectivity
- Adheres to university/college/department/school timelines, policies, and procedures
- Regularly prepares for teaching
- Attempts to evaluate and improve own teaching
- Commitment and contribution to course and/or program assessments
- Engages in professional development aimed at improving teaching effectiveness
- Uses fair and appropriate grading practice(s)

Content and Pedagogy
- Appropriateness and relevance of material covered in the class to subject matter of the class
- Supporting educational material (e.g., handouts, electronic tutorials)
- Appropriate use of pedagogical resources
- Adherence to syllabus
- Appropriateness, relevance, and quality of syllabus content
- Effective use of technology
- Effective utilization of innovations
- Timely, clear, informative, and appropriate feedback to students on assignments, tests, and on student progress in general beyond grades
- Making reasonable accommodations for individual students requiring the same
• Incorporation of civic engagement, service-learning, community-based teaching strategies or internships

In accordance with college and/or department/school policy, each faculty member may present a teaching portfolio and update it on an annual basis. The portfolio should provide information relating to teaching effectiveness. Because of the wide variety of programs and teaching situations, departments/schools should develop criteria as to the appropriate content, limitations, and uses of portfolios.

2.03 FES 1 reflects the chair’s rating of teaching effectiveness for each faculty member on a one-to-five scale. The FES 1 worksheet or a similar tool will be used by the chair to document the chair’s rating of teaching effectiveness.

3. STUDENTS’ EVALUATION OF CLASSROOM TEACHING EFFECTIVENESS

3.01 Student responses on the IDEA Center’s “Survey Form – Student Reactions to Instruction and Courses” are used for administrative decisions (e.g., tenure, promotion, and merit pay) and for development purposes. The IDEA “Summary Evaluation Score” will be used as the FES 2 score.

3.02 The IDEA Center’s “Survey Form – Student Reactions to Instruction and Courses,” at the discretion of the dean of the college, may be obtained directly from the Office of Institutional Research by department/school chairs for distribution to the faculty.

3.03 Evaluations may be conducted online or in class. For in-class evaluations, the evaluation will be conducted during the first 20-25 minutes of the period. The instructor may not be present in the classroom while the students are completing the form. The instructor should read the prepared college statement on teaching evaluation and then appoint a student or colleague per department/school/college guidelines to distribute, gather, and deliver the forms to the department/school chair’s office. The instructor must exit the classroom prior to the distribution of the forms.

3.04 Federal and state law protects each student’s privacy rights. For this reason, the class instructor should not have access to completed individual survey forms or score summaries until after all grades have been submitted to the
Registrar. Even then, any information on the forms that identifies a student shall be redacted prior to being provided to the instructor.

4. REPORT ON SCHOLARLY AND/OR CREATIVE ACCOMPLISHMENTS

4.01 This report is to be completed by each faculty member and submitted to his/her department/school chair as input for the FES 3 score. The final FES 3 score will be on a one-to-five point scale.

4.02 For most disciplines, this category consists of research and publication. For some disciplines, however, it may include other forms of creative works and activities, such as instructional technology; poetry; painting; musical, dance, or theatrical performance or composition; and sculpture. Scholarly activities shall be interpreted to include, but are not limited to, production of basic and applied research, writing and publications, scholarly grant development, scholarly grant acquisition, presentations to professional and learned societies, and professional development directly related to scholarly and/or creative accomplishments. Subject to the approval of the appropriate academic dean, the department/school chair may add additional subcategories or activities in accordance with department/school/college expectations.

4.03 Different disciplines and individuals define creative accomplishments in different ways, engage in different types of artistic endeavors, and evaluate such endeavors differently. As such, the criteria for evaluation can be defined here in only the most general terms. Each college/department/school should define its own specific criteria. Ultimately, individuals must be evaluated on the merit of their creative accomplishments and the level of their critical success.

4.04 The respective colleges are responsible for the determination and development of specific performance standards to be evaluated in FES 3. Input from faculty members at the department/school and/or program level is encouraged in identifying specific performance standards that may be unique to a given department/school or program. In creating performance standards, each college is encouraged to address the issue of quality as well as quantity.
5. REPORT ON SERVICE

5.01 This report is to be completed by each faculty member and submitted to his/her department/school chair as input for the FES 4 score. The final FES 4 score will be on a one-to-five point scale.

5.02 Service includes service to students, colleagues, program, department/school, college, and the University; administrative and committee service; and unpaid service beyond the University to the profession, locally, regionally, nationally, and internationally, including academic or professionally-related public service. Activities for which the faculty member received a stipend or release time may not be considered for service activities. Activities that may be considered, but are not limited to, include:

- Committee service
- Student recruitment
- Student advisement
- Acquisition and development of facilities, equipment, and other resources
- Appropriate professional development activities
- Student mentoring
- Student organization(s) sponsorship
- Program/curriculum development
- Faculty-community collaboration for scholarly research
- Faculty-community projects for leadership, economic, or social service development

5.03 The respective colleges are responsible for the determination and development of specific performance standards to be evaluated in FES 4. The performance standards should identify types of service that advance the mission and goals of the University, college, and department/school.

6. SUMMARY RATING REPORT

6.01 The “FES Summary Report” is to be completed by the department/school chair.

6.02 There must be an individual conference between the faculty member being evaluated and the chair. At this meeting, the evaluation will be discussed. The faculty member should be encouraged to provide any relevant
information. Faculty members needing improvement should be encouraged to seek appropriate assistance in creating and implementing a development plan.

6.03 Once completed, the “FES Summary Report” is to be signed by the chair and by the faculty member. The signature of the faculty member represents merely an indication that the completed report has been reviewed with the faculty member by the chair and does not necessarily indicate concurrence with the report’s contents. The faculty member’s signature does not preclude the faculty member from appealing the summary rating report. A faculty member who fails to sign the “FES Summary Report” is ineligible for any merit increases based on productivity in the time period covered by the unsigned “FES Summary Report.” The final score on the “FES Summary Report” will serve as the basis for recommendations to the dean for merit pay.

6.04 A faculty member may appeal his/her FES Summary Rating Report score to the chair and/or academic dean. The faculty member must submit in writing his/her rationale for the appeal accompanied by appropriate documentation. If not satisfied with the dean’s decision, the faculty member may appeal to the Provost and Vice President for Academic Affairs. The decision of the Provost and Vice President for Academic Affairs is final.

APPROVED: /signed/

James F. Gaertner, President

DATE: 11/10/09
CERTIFICATION STATEMENT

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

Original Date: March 17, 1982
Reviewer(s): Council of Academic Deans
           Academic Policy Council

Review Cycle: March 1, ENY*
Review Date: March 1, 2012

Approved: /signed/ Date: 11/11/09

David E. Payne
Provost and Vice President
for Academic Affairs

* = Even Numbered Year
Attachment 1

FES SUMMARY REPORT

Teaching effectiveness ratings are weighted averages and should be recorded to the nearest tenth. Ratings by the students and chair should be weighted equally (each comprises 50% of the teaching activity score). The remaining activity areas are each to be evaluated as a whole. For example, scholarly and/or creative accomplishments (FES 3) should be evaluated and assigned an overall rating from 1 to 5. The weights for each of the categories vary depending upon each faculty member’s normative teaching load as described in Table I.

Faculty Member's Workload Assignment (check one):
- _____ Normative nine credit hours per semester
- _____ Normative twelve credit hours per semester

<table>
<thead>
<tr>
<th>FES Category</th>
<th>Rating x Weight = Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Chair’s Rating of Teaching Effectiveness</td>
<td>_____ x _____ = _____</td>
</tr>
<tr>
<td>2. Students’ Rating of Teaching Effectiveness</td>
<td>_____ x _____ = _____</td>
</tr>
<tr>
<td>3. Scholarly and/or Creative Accomplishments</td>
<td>_____ x _____ = _____</td>
</tr>
<tr>
<td>4. Service</td>
<td>_____ x _____ = _____</td>
</tr>
<tr>
<td>Sum of Scores – FES 5</td>
<td>_____</td>
</tr>
</tbody>
</table>

* Weights for each category area are determined by referencing Table I of this policy.

The signatures below indicate only that the department/school chair and faculty member met to discuss the faculty member’s annual evaluation pertaining to APS 820317 and does not necessarily indicate the faculty member’s concurrence with the same.

Chair's Signature:  ________________________________

Faculty Member's Signature: ________________________________

Date:  ________________________________
Attachment 2

FES 1 WORKSHEET
Chair’s Rating of Faculty Teaching Effectiveness Worksheet

Faculty Member’s Name: ________________________________
Identification Number: ____________________________ Date: __________________

Using the guidelines in Section 2 of APS 820317 and/or the appropriate college/department/school criteria, please document evidence/rationale for the chair’s rating of teaching effectiveness score listed below. The broad categories listed in Section 2.02 are reproduced for your convenience.

Professionalism

Content and Pedagogy

Other

Chair’s Rating of Teaching Effectiveness: _________
### Attachment 3

**TABLE I: WEIGHTS FOR FACULTY EVALUATION**

**NORMATIVE TWELVE-CREDIT HOURS-PER-SEMESTER WORKLOAD**

<table>
<thead>
<tr>
<th>FES 1 Chair’s Rating</th>
<th>FES 2 Students’ Rating</th>
<th>FES 3 Scholarly and/or Creative Accomplishments</th>
<th>FES 4 Service</th>
</tr>
</thead>
<tbody>
<tr>
<td>.25</td>
<td>.25</td>
<td>.25</td>
<td>.25</td>
</tr>
</tbody>
</table>

**NORMATIVE NINE-CREDIT-HOURS-PER-SEMESTER WORKLOAD**

<table>
<thead>
<tr>
<th>FES 1 Chair’s Rating</th>
<th>FES 2 Students’ Rating</th>
<th>FES 3 Scholarly and/or Creative Accomplishments</th>
<th>FES 4 Service</th>
</tr>
</thead>
<tbody>
<tr>
<td>.20</td>
<td>.20</td>
<td>.40</td>
<td>.20</td>
</tr>
</tbody>
</table>
1. THE BOARD OF REGENTS

1.01 Policies concerning reappointment, tenure, and promotion in The Texas State University System are set forth in the Rules and Regulations [http://www.shsu.edu/~pre_www/tsus/] of the Board of Regents, The Texas State University System, which body will be referred to as "the Board of Regents" in the remainder of this document. In any case of contradiction between this policy and the Board of Regents' Rules and Regulations, the Board of Regents' Rules and Regulations prevails.

1.02 Exceptions to the policies and procedures set forth herein may be authorized only by the President of the University.

1.03 Authority to approve reappointment, tenure, or promotion rests with the President, subject to the approval of the Board of Regents.

2. GENERAL PROVISIONS

2.01 Tenure. Tenure is the most important decision a university makes with regard to its faculty, and the quality of tenure decisions over the years determines in large measure the quality of the university. Tenure denotes a status of continuing appointment as a member of the faculty at Sam Houston State University. It is not granted automatically or on the basis of seniority. Tenure is granted to faculty, after a rigorous probationary period, on the basis of meritorious performance in teaching, research, and service. A faculty member is normally reviewed for tenure during the sixth year in a tenure-track position. The length of the probationary time period may be modified in accordance with Section 4.05 of this policy at the time of employment.

On rare occasions, truly outstanding faculty may be considered for tenure prior to completion of the probationary period. Early consideration of tenure requires the approval of the appropriate chair and dean prior to the second Monday of October in the year in which tenure is to be considered. Special permission by the chair and/or dean does not imply a subsequently favorable recommendation. If approved for early consideration for tenure, the probationary period for that faculty member is effectively modified and the current year will be deemed the terminal year of the probationary period. No subsequent consideration of tenure will be allowed beyond the new terminal year.
“However, tenure does not create a property interest in any attributes of the faculty position beyond the annual salary. By way of example only, tenure does not create a property interest in laboratory space, a particular office, the right to teach graduate students, or use of research materials or equipment” (see Texas State University System, Rules and Regulations, Chapter V, Subsection 4.21). Tenure ensures academic freedom and protects faculty from inappropriate retribution. It allows faculty to take a long-term approach to their work while still requiring faculty accountability. It assists in attracting and keeping excellent faculty and promotes the orderly induction of new faculty into the community of mature scholars.

2.02 Promotion. Promotion is granted as recognition of sustained, high-quality performance, combined with efforts at continuous improvement. It also does not come automatically or with length of service. A faculty member normally establishes eligibility for consideration for promotion upon the completion of five and one-half years in a tenure-track position or in the rank of associate professor. On rare occasions, truly outstanding faculty may be considered prior to this time. Nominations for consideration for promotion shall be addressed to the Department Promotion and Tenure Advisory Committee (DPTAC) in any of three ways: (1) by the faculty member herself/himself, (2) by another faculty member, or (3) by the department/school chair. (Note: For composition of the DPTAC, see Section 7 below and see Section 4.02 for a definition of the term “department/school chair” in this policy statement.) A faculty member is allowed to self-nominate for promotion to full professor once every three years.

2.03 Discretionary Nature of Promotion. “The academic promotion of a faculty member is discretionary on the part of the President of the Component, the Chancellor, and the Board of Regents. Faculty members do not have an entitlement to a prospective promotion rising to the level of a property interest; and, the denial of a prospective promotion is not sufficiently stigmatic to constitute a liberty interest. No commitments, implied or otherwise, shall be made by any individual regarding faculty promotions without the prior written approval of the President, and all faculty promotions shall be subject to the approval of the Chancellor and Board of Regents. Faculty members who are not recommended for promotion shall not be entitled to a statement of reasons for the decision against the recommendation. However, supervisors are encouraged to offer suggestions for a program of professional development in teaching, scholarly or creative work, and leadership or service
that may enhance the likelihood of promotion in the future” (see Texas State University System, *Rules and Regulations*, Chapter V, Subsection 4.31).

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

3. THE ACADEMIC RANKS

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

3.02 Terminal Degrees and Special Credentials

a. The term “special credentials” as used in this policy shall be defined to include the Certified Public Accountant license and other special credentials, insofar as these signify generally recognized levels of achievement, competence, and experience specifically applicable to particular academic fields.

b. The term “terminal degree” as used in this document shall be defined as the highest academic degree customarily awarded in the field of study. This term may include the Master of Fine Arts, the Doctor of Jurisprudence, the Master of Social Work, and the Master of Library Science from a library school program accredited by the American Library Association.

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

4. GENERAL PROCEDURAL GUIDELINES

4.01 For purposes of tenure, the term "tenure unit" is defined as the faculty of a college which is not divided into smaller units, or of a department, or of an officially designated program or group of programs within a department, or of the Newton Gresham Library, who share in the obligations, rights, and protections of tenure within their discipline(s). The designated tenure units, within the present administrative structure at Sam Houston State University, are those listed below.

Tenure Units in the College of Business Administration
  Accounting
  Economics and International Business
  General Business and Finance
  Management and Marketing

Tenure Units in the College of Education
  Curriculum and Instruction
  Educational Leadership and Counseling
  Language, Literacy and Special Populations
  Library Science

Tenure Units in the College of Fine Arts and Mass Communication
  Art and Photography
  Dance
  Mass Communication
  Music
  Theatre

Tenure Units in the College of Health Sciences
  Health and Kinesiology
  Nursing
Tenure Units in the College of Humanities and Social Sciences
  Communication Studies
  English
  Family and Consumer Sciences
  Foreign Languages
  History
  Philosophy
  Political Science
  Psychology
  Sociology

Tenure Units in the College of Sciences
  Agricultural Sciences and Technology
  Biological/Environmental Sciences
  Chemistry
  Computer Science
  Geography
  Geology
  Mathematics and Statistics
  Physics

Tenure Units in the College of Criminal Justice.
  Criminal Justice and Criminology
  Forensic Science
  Security Studies

The Newton Gresham Library is a tenure unit.

4.02 For ease of reference in the remainder of this document, the term "department" refers to each of the tenure units listed in section 4.01 above. Furthermore, the term "department/school chair" refers to the relevant administrative official, whether that person is the chair of the department/school within which the tenure unit is located or the Director of the Newton Gresham Library.

4.03 Years of service as tenure-track probationary faculty. Only full-time service in the academic ranks of Professor, Associate Professor, Assistant Professor,
Instructor, or any combination thereof shall be counted toward fulfillment of a required probationary period related to the award of tenure. Periods during which a faculty member is on leave of absence shall not be counted toward fulfillment of a required probationary period.

4.04 Calculating years of service. For purposes of calculating the period of probationary service, an "academic year" shall be the approximate nine-month period from September through May. If a faculty member is initially appointed during an academic year, the period of service from the date of appointment until the beginning of the following academic year shall not be counted as academic service toward fulfillment of the maximum probationary period.

4.05 Prior service credit. At the discretion of Sam Houston State University, prior service of up to three years at another university may be counted toward fulfillment of the required probationary period for tenure and promotion.

4.06 Maximum probationary service and the duty of the University to give notice. The maximum period of probationary faculty service at Sam Houston State University in tenure-track status in any academic rank or combination of the academic ranks of instructor, assistant professor, associate professor, or professor shall not exceed six years of full-time academic service. Not later than August 31 of the last academic year of the maximum probationary period in effect, a tenure-track faculty member shall be given written notice that the subsequent academic year will be the terminal year of employment or that beginning with the subsequent academic year, tenure will be granted. In the event that the employment of a tenure track faculty member is to be terminated prior to the end of the maximum probationary period, notice shall be given in accordance with Subsection 4.10 below. Faculty members who have not been granted tenure by the Board of Regents shall not be entitled to tenure by virtue of being employed past the probationary period, i.e., such faculty members do not have de facto tenure.

4.07 Suspension of the Probationary Period

4.071 Personal circumstances may justify the suspension of the tenure clock. It is the responsibility of the faculty member to provide appropriate documentation to demonstrate sufficiently why the request should be granted.
4.072 The department/school chair will provide his/her recommendation concerning the request for a suspension of the tenure clock to the dean within five working days from receipt of the request.

4.073 The dean will provide his/her recommendation concerning the request for a suspension of the tenure clock to the Provost and Vice President for Academic Affairs within five working days from receipt of the department chair's recommendation.

4.074 The decision regarding the request for a suspension of the tenure clock shall be made by the Provost and Vice President for Academic Affairs within five working days from the date of receipt of the dean's recommendation.

4.08 Employment continuance for non-tenured faculty. All faculty appointments are subject to the approval of the Board of Regents. The University's commitment to employ a probationary or nontenured faculty member is limited to the term specified in the faculty member's contract for that appointment period. Any commitment to employ a nontenured member of the faculty beyond the period of current appointment shall have no force and effect until approved by the Board of Regents.

4.09 No conflicting appointments. A person appointed to a faculty position with the rank of instructor, assistant professor, associate professor, or professor at Sam Houston State University may not, during the term of such appointment, hold a tenured or tenure-track position on the faculty of another educational institution. Appointments at Sam Houston State University to the above-specified ranks shall be conditional upon the appointee having resigned any tenured position that the appointee may then hold on the faculty of another educational institution. The resignation must be effective prior to the effective date of the appointment at Sam Houston State University; otherwise, such appointment shall be void and of no effect. The acceptance of an appointment to a tenured or tenure-track position on the faculty of an educational institution outside Sam Houston State University shall be considered as a resignation of any faculty position with the rank of instructor, assistant professor, associate professor, or professor that such appointee may hold at Sam Houston State University.
4.10 Written notice of nonreappointment and denial of tenure. Written notice of a decision not to reappoint will be given to a tenure-track faculty member no later than March 1 of the first or not later than December 15 of the second academic year of probationary service. After two or more academic years, written notice shall be given not later than August 31 that the subsequent academic year will be the terminal year of appointment. The notice required by this section is not applicable where termination of employment is for good cause or for faculty members who are appointed on a term basis.

4.11 Reappointment and award of tenure. Reappointment of nontenured members of the faculty to a succeeding academic year or the award of tenure shall be accomplished only upon the President’s written recommendation and the Board of Regents’ approval.

4.12 All faculty members shall keep the President or his/her designee notified of their current mailing addresses.

5. CATEGORIES AND STANDARDS OF PERFORMANCE

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

a. Categories of Performance

(1) Teaching: This category includes, among other things, classroom and laboratory instruction; development of new courses, laboratories, and teaching methods; publication of and/or development of electronic instructional materials; academic advising; and supervision of undergraduate and graduate students.

(2) Scholarly and/or Creative Accomplishment: For most disciplines, this category consists of research and publication. For some disciplines, however, it may include other forms of creative works and activities, such as instructional technology, patents or commercialization of research (where applicable), poetry, painting, musical performance or composition, and sculpture.

(3) Service: This category includes service to students, colleagues, program, department, school, college, and the University; administrative and committee service; and service beyond the
University to the profession, community, state, and nation, including academic or professionally-related public service.

(4) Collegiality: This category addresses the faculty member's ability to function as an effective professional in accomplishing the goals of the tenure unit and the University.

(5) Meeting of the above criteria, especially the first three, does not guarantee or confer an entitlement to tenure and/or promotion.

(6) For special evaluative criteria pertaining to faculty members who are librarians, see Academic Policy Statement 810814, "Tenets for Academic Status for Professional Librarians."

b. Standards of Performance

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

(1) Associate Professor:

- sustained effective teaching and mentoring of students as documented by student evaluations and peer and chair review and/or by an exemplary record of academic advisement, supervision of student research, or thesis/dissertation direction, as appropriate for the discipline

- sustained contribution to program support, such as course and curriculum development, innovations in teaching methodology, electronic instruction development, or participation in interdisciplinary academic programs

- participation in professional development activities to update skills or to gain new expertise

- sustained pattern of peer-reviewed research, creative activities, or scholarly work that contributes to her/his discipline; evidence of growth in quality/significance of scholarly or creative
contributions

- sustained, documented service to the University, profession, or community, as appropriate for the discipline

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

(2) Professor

- sustained, effective teaching and mentoring of students as documented by student evaluations and peer and chair review and/or by an exemplary record of academic advisement, supervision of student research, or thesis/dissertation direction, as appropriate for the discipline since the last promotion

- leadership in program support, such as course and curriculum development, innovations in teaching methodology, electronic instruction development, participation in interdisciplinary programs, or mentoring of less-experienced faculty

- participation in professional development activities to update skills or to gain new expertise

- leadership in peer-reviewed research, grantsmanship, creative activities, or scholarly work that contributes to his/her discipline; evidence of growth in quality/significance of scholarly or creative contributions; sustained contribution to the intellectual culture of the University

- sustained, documented leadership in service to the University, profession, or community, as appropriate for the discipline

- demonstrated collegiality and leadership in accomplishing the goals of the department/college/University.

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

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

6. FACULTY REVIEW PORTFOLIO

6.01 For a faculty member to be considered for promotion and/or tenure, the faculty member must prepare a Faculty Review Portfolio. The Faculty Review Portfolio may contain any information or materials that the individual deems pertinent for consideration. The department/school chair and college dean may, on behalf of the University, place in the portfolio file any additional information that may be pertinent to the faculty member's status.

6.02 For a faculty member to have an application considered for promotion and/or tenure, he or she must assure that the Faculty Review Portfolio contains a complete, accurate and truthful record of accomplishments that is organized under the following headings:

a. Curriculum vita including at least:

   (1) Academic training

   (2) Summary of work experience

   (3) Scholarly and creative contributions (juried contributions must be listed separately)

   (4) Funded grants (external and institutional grants must be listed separately)
(5) Honors, awards, and other special recognitions

b. Significant professional service

c. Documentation of teaching performance utilizing summaries of student evaluations

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

6.03 Faculty are expected to maintain the highest level of standards and integrity and therefore, proven instances of academic fraud or dishonesty by faculty with regard to submitted material within the portfolio may be grounds for denial of tenure and/or promotion.

7. DEPARTMENT PROMOTION AND TENURE ADVISORY COMMITTEE (DPTAC)

7.01 The DPTAC shall be an advisory body composed ordinarily of all of the tenured faculty members appointed in the tenure unit. The dean shall appoint the chair for this committee.

7.02 If the DPTAC, when constituted in accordance with section 7.01, has three or fewer tenured members, then the department chair and either (a) the probationary faculty member or (b) the person to be considered for promotion shall submit to the dean a list of three names of tenured faculty members from other tenure units who are qualified to serve on the DPTAC. The nominations should be accompanied by documentation of the nominees’ relevant qualifications. The dean shall appoint members from these lists until there are at least four members of the DPTAC. The dean shall also appoint the chair for this committee. If the need arises to replace a member of the DPTAC, the dean shall follow the same procedure.

7.03 With regard to the DPTAC formed as a result of 7.02, in the case of a probationary faculty member, the members of the DPTAC should be appointed to review the performance of the probationary faculty member every year beginning with the second year of employment and continuing until a final recommendation concerning tenure is made. In the case of promotions,
the members of the DPTAC should be appointed to review the performance of the faculty member every year beginning with the second year after the previous promotion and continuing until a final recommendation concerning promotion is made.

7.04 The full DPTAC shall limit its recommendations to tenure decisions. Decisions about promotion should be made by all members of the DPTAC holding at least the rank for which the candidate is being considered for promotion. All votes by the committee shall be done by secret ballot. A separate record of the vote count for tenure and/or promotion from the DPTAC members shall be transmitted to the appropriate administrator and to the Standing Faculty Tenure Committee.

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

8. REVIEW OF PROBATIONARY FACULTY

8.01 Formative review of faculty is an ongoing process. A faculty member in the first year of probationary service as an instructor, assistant professor, or nontenured associate professor is reviewed by the department chair based on the performance categories outlined above. If the progress of the faculty member toward meeting the required standards of performance is judged to be insufficient, the chair may notify the faculty member of his/her nonreappointment.

8.02 If the progress of the faculty member toward meeting the standards of performance required for eligibility for tenure and/or promotion to assistant or associate professor is judged to be inadequate the dean shall make a decision and, if a faculty member is not to be renewed, notify the faculty member in writing.
8.03 If the performance of the faculty member is judged to be satisfactory to continue in probationary status, the department chair will discuss the results of the review with the faculty member (with a view toward improving performance) and provide her/him with a copy of the written report.

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

9. ELIGIBILITY FOR COMMITTEE SERVICE

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

10. APPOINTMENTS OF PROFESSORS

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

11. REVIEW TIMETABLE AND PROCEDURES

The individual faculty member is responsible for preparing and submitting all materials to be considered for promotion and tenure. The Standing Faculty Tenure Committee will post a specific calendar at the start of each academic year. However, the review process and the approximate annual timetable for the review procedure are as follows:
a. By second Monday in October

Prior to the first Monday, deans will receive a list from the Provost’s office of all faculty members who are eligible for either promotion and/or tenure. By the second Monday in October, the respective chairs will notify each faculty member who is eligible for consideration for promotion and/or tenure. Individual faculty members who are not notified may also choose to apply; these faculty members must meet the same standards of performance as those who are notified by their chairs and must notify their chairs and deans in writing of their intention to apply by the second Monday in October.

b. By third Monday in January

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

c. Upon submission, the DPTAC will have two weeks to evaluate the portfolio (Weeks 1-2 after third Monday in January).

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

d. The department chair will have one week to make a recommendation (week 3).

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

e. The dean will have two weeks to make a recommendation (weeks 4-5).

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

f. The Provost will have two weeks to make a recommendation (weeks 6-7).

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

g. The University President will send his/her recommendation to the Board of Regents for consideration at its spring meeting. After the President submits his/her recommendation to the Board, the Provost and Vice President for Academic Affairs will notify the faculty member under consideration for promotion and/or tenure of his/her recommendation. The President will officially notify faculty after the Board has acted on the recommendation.

12. APPEALS

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

13. REVISIONS TO THIS POLICY

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

APPROVED: Dana L. Gibson, President

DATE: 11-25-13
CERTIFICATION STATEMENT

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

Original Date: April 17, 1990
Reviewer(s): Council of Academic Deans
             Academic Policy Council
             Faculty Senate
             Standing Faculty Tenure Committee

Approved: Jaimie L. Hebert
           Provost and Vice President
           for Academic Affairs

Review Cycle: April 1 ENY*
Review Date: April 1, 2014

Date: 12-3-13

* = Even Numbered Year
1. PURPOSE

1.01 In order to improve faculty performance without infringing upon academic freedom, the institution of tenure itself or the due process rights of faculty, and pursuant to the legislative imperative expressed in Section 51.942 of the Texas Education Code, colloquially known as SB 149 and hereinafter called Section 51.942, Sam Houston State University has instituted a process for the Performance Evaluation of Tenured Faculty (PETF). The values that should govern the process of Performance Evaluation of Tenured Faculty are multiple:

a. The process should avoid any infringement on academic freedom.

b. The major focus of the process should be on improving faculty performance.

c. It should include sufficient appeals processes to ensure fairness.

d. The process should not threaten the essential institution of academic tenure.

Nonetheless, when a faculty member has demonstrated a continuing inability to meet appropriate minimum standards of performance, the process must be able to address the situation effectively.

1.02 The process of Performance Evaluation of Tenured Faculty at Sam Houston State University contains several basic components which include:

a. the development and maintenance of standards of appropriate performance to be used in the evaluation process;

b. the requirement that each faculty member complete an individual professional evaluation as part of the annual Faculty Evaluation System (FES) process;

c. a specification of the steps for a process of periodic, comprehensive performance evaluation of all tenured faculty members, a process which will involve faculty peers and which will take place every five years;

d. a specification of steps for an additional process of prompted comprehensive performance evaluation triggered either by a tenured
faculty member’s voluntary request or by serious performance deficiencies identified in the FES review;

e. a specification of components of a Plan for Assisted Faculty Development (PAFD) to be used in cases arising from 1.02.d; and

f. a specification of timelines for the various steps in the processes of the periodic review and the prompted review.

2. STANDARDS FOR PERFORMANCE EVALUATION OF TENURED FACULTY

2.01 Standards to determine what constitutes appropriate minimum performance for a tenured faculty member must be developed by the tenured and tenure-track faculty and approved by the tenured faculty in each tenure unit. These standards will be in keeping with the mission of the University, the mission and goals of the college, and the mission and goals of the unit. They are to be based on, but need not be limited to, the professional responsibilities of the faculty member in teaching, scholarly research and artistic creativity, service, and professional development. The standards should take cognizance of the need to allow for legitimate variation in the development of a faculty member’s career. A copy of these standards shall be forwarded for review and approval to the dean of the college in which the tenure unit is located. If the dean concurs, then the statement of standards shall be sent to the Provost and Vice President for Academic Affairs for review and approval. In this process of approval, the advice and comments of the faculty shall be given the utmost consideration.

2.02 The standards shall be subject to periodic review by the tenured faculty in the tenure unit at least every five years, unless requested earlier by the chair or dean. A report of the review, including recommendations for modifications if necessary, is subject to review and approval by the appropriate academic dean and by the Provost and Vice President for Academic Affairs.

2.03 A copy of the standards shall be provided to every tenured and tenure-track faculty member by the chair by the date specified in Section 7. For the purposes of this policy, “chair” refers to the individual who conducts the annual FES review. In most cases, this is a chair, but the term should also be understood to encompass a coordinator, the Director of the Library, an associate dean in the College of Criminal Justice, or a departmental promotion and merit committee where such exists.
2.04 If a substantive change has occurred in the standards during the period to be covered by a faculty member’s comprehensive, periodic performance evaluation, the appropriate standards to the years in the review period when the standards were enforced will be applied.

3. THE ANNUAL INDIVIDUAL PROFESSIONAL EVALUATION

As part of the annual FES process, a tenured faculty member shall prepare and submit to the department chair/coordinator a written individual professional evaluation. This self-evaluation should contain statements identifying an individual’s strengths and weaknesses, and it should specify plans for the upcoming academic year aimed at strengthening the faculty member’s performance. These statements shall be retained in the faculty member’s file and become part of the information base for the periodic review.

4. THE PERIODIC COMPREHENSIVE PERFORMANCE EVALUATION

4.01 Every tenured faculty member with less than a 0.5 FTE administrative appointment will be given a comprehensive performance evaluation every fifth year after receiving tenure, a promotion, returning to a faculty position following an administrative assignment, or after a previous comprehensive performance evaluation.

a. Exceptions to this schedule can be made by the chair with approval of the dean when there is a sufficient reason (e.g. illness) to do so, but the period must not extend beyond six years.

b. With approval from the dean and Provost, the post-tenure clock will be suspended for all faculty holding administrative positions within the tenure unit (e.g. departmental chairs) or holding at least a 0.5 FTE administrative position.

4.02 The comprehensive performance evaluation will normally begin in the spring with written notification by the chair to the faculty member. The date for this notification is specified in Section 7 along with the dates involving the vote by secret ballot of the assembled tenured faculty. The focus of the Periodic Comprehensive Performance Evaluation should be on helping the faculty member improve performance in the conduct of professional duties.

a. According to the Performance Evaluation of Tenured Faculty, each tenured faculty member will be reviewed by the tenured faculty in his/her
tenure unit. This initial review will make use of FES records for the five most recent years. If a simple majority or greater of the tenured faculty voting by secret ballot determines that the faculty member exceeds the accepted minimum standards of the unit, then that faculty member will be certified as satisfying the Performance Evaluation of Tenured Faculty and no further actions will be required. Members of the tenured faculty who for good cause cannot be present for voting may submit prior to the voting an absentee secret ballot to the chair of the department.

b. Should the reviewed faculty member fail to receive at least a simple majority of the votes of approval from the tenured faculty voting, then he/she will be subject to the procedures outlined in the Prompted Comprehensive Performance Evaluation beginning with 5.02a.

5. PROMPTED COMPREHENSIVE PERFORMANCE EVALUATION

5.01 A comprehensive performance evaluation can be prompted under various circumstances:

a. A faculty member may request early peer consultation (see 5.02 below) and comprehensive performance evaluation in any year. A voluntary prompted review changes the schedule for subsequent periodic reviews so that if, for example, a review is requested in 2007, then the next periodic review will be in 2012. The request for such review is to be conveyed to the chair by the date specified in Section 7.

b. A faculty member who has been judged to be performing below the appropriate minimum level as a result of a negative (less than simple majority) vote in the quinquennial Periodic Comprehensive Performance Evaluation shall be required to formulate and follow a Plan for Assisted Faculty Development (PAFD). (See Section 6 for a specification of the contents of a PAFD.) The development and execution of this plan will form a very important component of the Prompted Comprehensive Performance Evaluation.

5.02 The process for a prompted comprehensive performance evaluation:

The philosophy underlying this evaluation process is that it will incorporate a very significant peer component and that it will have as its main intention the support and development of all members of the tenured faculty. But, ultimately and of necessity, it will also include a summative component that
will identify those rare faculty members who are either unwilling or unable to meet the recognized standards of their unit and of their profession.

a. To this end, a peer consultation team will be jointly selected by the chair and the faculty member being evaluated. The chair will nominate at least two possible members and the faculty member will do likewise. The chair will then select one person from the faculty member’s nominees and the faculty member will select one person from the chair’s nominees. It is the task of this team to evaluate fairly the faculty member in all aspects of his/her professional duties and responsibilities and to do so according to the standards established for the relevant tenure unit. If the faculty member does meet the relevant standards, the team members will so inform the chair, who will certify that the faculty member satisfies the Performance Evaluation of Tenured Faculty and no further actions will be required. From this evaluation, the team members will confirm either that the faculty member does or does not meet the relevant standards of the unit. Should the negative finding be made, it is the responsibility of the team to assist the faculty member in the formulation of a set of actions (PAFD) that in an agreed to time period will have the best probability of causing the full remediation of the perceived deficiencies.

The role of the peer consultation team is entirely advisory, both to the faculty member subject to review and to the chair of the unit. The recommendations of this team may represent a consensus view of the two team members plus the faculty member or, alternatively, each member of the team and the faculty member may submit to the chair their independently derived proposal for the PAFD. It is envisaged that the chair will take the best elements of these proposals and, in consultation with the faculty member, formulate the PAFD.

After the PAFD has been established (see Section 5.02b below), the peer consultation team will remain in place to provide support and encouragement to the faculty member under review, and at the end of the designated development period, they will each provide to the chair and the faculty member a reevaluation and an assessment as to whether or not the PAFD has worked. Again, this assessment will be advisory to the faculty member and to the chair and will not constitute a mandate for either party.

b. The chair and the faculty member should sign the PAFD to indicate their agreement with the terms of the plan. If the chair and the faculty member are unable to come to agreement on a suitable plan, they should consult
others including the dean, in an attempt to reconcile their differences. If there is still no agreement, then the faculty member will be required to adhere to the PAFD as formulated by chair. A copy of the plan shall be sent for information to the dean of the college and to the Provost and Vice President for Academic Affairs. The faculty member may invoke the grievance procedure specified in Academic Policy 820830 before the date specified in Section 7.

c. The chair should hold meetings with the faculty member to assess progress toward accomplishing what the PAFD specifies. A schedule of these meetings should be agreed upon in advance.

d. At this point, there are three possible outcomes:

   (1) When, in the determination of the chair, the faculty member has succeeded in restoring his/her performance to an acceptable level by meeting the goals of the PAFD in a timely manner, then the chair shall notify both the faculty member, the peer consultants, and the dean in writing by the date specified in Section 7. The faculty member then becomes subject to the ordinary periodic comprehensive performance evaluation after the standard set interval.

   (2) The chair may choose to extend the time for completion of the PAFD, but the maximum extension permitted is one year. The chair shall notify both the faculty member, the peer consultants, and the dean of this decision in writing by the date specified in Section 7.

   (3) If, after seeking the opinions of the faculty peer consultation team, it is the judgment of the chair that the faculty member has failed to satisfy the PAFD, then the chair will so inform the dean, the peer consultants, and the affected faculty member in writing by the date specified in Section 7.

5.03 When informed by the chair that a faculty member has failed to satisfy the requirements of the PAFD, the dean shall review the report of the chair. This review may include an examination of the faculty member’s student evaluations, professional portfolio, personnel file, and any other information covering the time period under consideration that the dean considers pertinent. The dean shall personally confer with the faculty member regarding his/her performance under the PAFD, with the appropriate chair, and, if necessary, with the peer team. Following the review, the dean shall forward to the
Provost and Vice President for Academic Affairs an opinion as to whether or not the faculty member has successfully completed the PAFD. The dean may recommend to the Provost and Vice President for Academic Affairs any of several actions, including, but not limited to:

a. restoring the faculty member to a regular status;

b. requiring another PAFD be formulated, with a different peer consultation team;

c. instituting dismissal proceedings or other appropriate disciplinary action in accordance with the *Rules and Regulations*, The Texas State University System; the Sam Houston State University *Faculty Handbook*; and applicable law in the event that the faculty member’s performance exhibits incompetency, neglect of duty (defined in Section 51.942 as “continuing or repeated substantial neglect of professional responsibilities”), or other good cause.

5.04 If the disciplinary action being contemplated is dismissal for cause, a faculty member subject to termination on the basis of an evaluation conducted pursuant to this policy must be given the opportunity for referral of the matter to a nonbinding alternative dispute resolution process as described in Chapter 154, Civil Practices and Remedies Code. If both parties agree, an alternative dispute resolution method may be elected. The governing board must give specific reasons in writing for any decision to terminate a faculty member on the basis of an evaluation conducted pursuant to this policy.

6. THE PLAN FOR ASSISTED FACULTY DEVELOPMENT (PAFD)

6.01 The goal of the PAFD is to aid in restoring the faculty member to a level of performance that meets or exceeds the appropriate minimum. The purpose of the PAFD is to make specific the sorts of activities or accomplishments necessary to bring about the restoration of performance to that level. The PAFD should be developed promptly and in consultation with peers as well as the chair.

6.02 Although each PAFD is tailored to specific circumstances, such plan will:

a. identify specific deficiencies to be addressed;

b. define specific goals or results necessary to remedy the deficiencies;
c. outline the activities to be undertaken to achieve the necessary results;

d. indicate the criteria used for assessing progress in meeting the plan;

e. identify reasonable institutional resources to be committed in support of the plan.

7. TIMELINES FOR THE PROCESSES INVOLVED IN BOTH THE PERIODIC REVIEW AND THE PROMPTED REVIEW

(NOTE: When any date falls on Sunday, Saturday, a University holiday, or a University recognized religious holiday, the next business day shall be the appropriate date. Also, these are dates by which the specified actions are to be taken, thus the actions may be taken earlier if circumstances permit. The dates are keyed to the relevant sections of the policy statement.)

DEADLINES

January 31: Copies of unit’s standards are distributed to faculty [2.03].
March 1: Faculty member requests early evaluation [5.01(a)].
March 1: Chair sends written notification to faculty member subject to Performance Evaluation of Tenured Faculty (PETF) for coming year.
March 15: Faculty member submits “individual professional evaluation” for review [3].
March 16-30: Peer faculty meet to evaluate performance of faculty member(s) under review [4.02(a)]. (This will accommodate any spring break week).
April 1: Faculty members under review are informed about faculty peer evaluation. Chair reports results of faculty peer meeting to the dean and to the Provost and Vice President for Academic Affairs.

If Plan for Assisted Faculty Development (PAFD) [5.01(b)] is needed, then the following timelines will be used:

April 10: Chair and faculty member provide nominees to each other [5.02(a)].
April 15: Chair and faculty member determine peer evaluators [5.02(a)].
April 20-30: Faculty member meets with peer evaluators to devise Plan for Assisted Faculty Development (PAFD).
May 1-4: PAFD plan is approved by chair and sent to dean [5.02(b)] and Provost and Vice President for Academic Affairs.

May 15: Faculty member invokes grievance procedure if desired [5.02(b)].

Fall Semester: PAFD process formally begins.

February 1: Peers must provide individual reports to chair and faculty member.
February 1-15: Faculty member provides written exceptions or supplements to peer reports to chair and peer reviewers.

April 1: Status of PAFD is reported: Chair provides written notification to faculty member, peer reviewers, and dean of successful completion of PAFD, extension of time for PAFD, or non-satisfactory completion of PAFD.

April 15: Dean notifies faculty member, chair, peer reviewers, and Provost and Vice President for Academic Affairs of PAFD evaluation recommendation.

May 1: Provost and Vice President for Academic Affairs response to faculty member concerning his/her decision with regard to the dean’s recommendation.

If extension time for PAFD or continued PAFD is needed, above timeline will be followed.

8. POLICY REVIEW

Sam Houston State University’s academic policy on the Performance Evaluation of Tenured Faculty should be reviewed one year after its adoption and at appropriate periodic intervals thereafter.

APPROVED: /signed/ Dana L. Gibson, President

DATED: 12/22/10

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

Original: February 2, 1998
Reviewer(s): Council of Academic Deans
            Academic Policy Council

Review Cycle: February 1, ENY*
Review Date: February 1, 2012

Approved: /signed/ Date: 12/21/10

David E. Payne
Provost and Vice President
for Academic Affairs

*ENY = Even Numbered Year
Sam Houston State University

Faculty Handbook

December 2018
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Sam Houston State University

University Mission
Sam Houston State University provides high quality education, scholarship and service to qualified students for the benefit of regional, state, national, and international constituencies.

University Vision
Best at Educating the Texas Workforce:

- Excellence in academics
- Effective in student success
- Efficient in operations
- Loyal to traditions
- Dedicated to innovation

University Goals

- Foster a lifelong learning environment in support of a diverse faculty and staff who are excellent scholars, educators, and professionals.
- Promote a stimulating learning environment through the integration of academic settings, campus culture, and service.
- Increase and develop university resources and infrastructures that support the intellectual transformation of students.
- Enhance marketing outreach and visibility to include academic and scholarly activities through consistent and integrated messaging while optimizing communication channels.
- Promote efficient data driven decision making through the integration of centralized data analysis, review, and dissemination.
- Cultivate a continually sensitive and proactive response to the ever-changing needs of our constituents.

History
Sam Houston State University, located in Huntsville, Texas, is a member of The Texas State University System. The school was created by the Texas Legislature in 1879 as Sam Houston Normal Institute to educate teachers for the public schools of Texas. The baccalaureate degree was first awarded in 1919.

In 1923, the institution’s name was changed to Sam Houston State Teachers College. Two years later, the college was admitted to membership in the Southern Association of Colleges and Schools (SACS) as an accredited institution of higher learning. A graduate degree was authorized in 1936, and the curriculum was expanded to emphasize preparation in a variety of fields.
Following World War II, an increase in students and faculty as well as a wide range of faculty-research activities provided impetus for the continued emergence of a multi-purpose institution. In recognition of these developments, the institution’s name was changed by the Texas Legislature to Sam Houston State College in 1965. The number of graduate degrees conferred increased significantly in the late 1960s; and the Texas Legislature, recognizing the changes that had taken place, changed the name of the institution to Sam Houston State University in 1969.

In the 1970s, the University was granted permission to offer its first doctorate, a PhD in criminal justice. This program grew to be one of the largest and most recognized doctoral programs in the country. In the 1980s and 1990s, the University completed a number of academic, athletic, and support facilities. With the improvement of faculty and facilities, the University set a vision to become one of the best regional universities in the country.

During the last five years of the twentieth century, the University expanded its reach by offering programs online, at The Woodlands in a multi-institutional teaching center, and various other off-campus sites. Beginning in 2000, the University expanded its building program and committed resources to develop and maintain nationally-recognized academic support programs. Sam Houston State University increased the number of doctoral programs, including programs in education and psychology, and experienced a tremendous surge in enrollment and name recognition.

Currently, Sam Houston State University is organized academically into eight colleges: Business Administration, Criminal Justice, Education, Fine Arts and Mass Communication, Health Sciences, Humanities and Social Sciences, and Sciences and Engineering Technology, and the proposed Osteopathic Medicine. Students are offered an extensive range of bachelor’s and master’s degrees, as well as doctorates in selected areas. The faculty and the University are recognized regionally, nationally, and internationally.

**Faculty Handbook**

The Faculty Handbook is an official Sam Houston State University (SHSU) publication designed to provide guidelines and explanations to the faculty concerning policies and procedures under which the University operates. Faculty may refer to the channels of administration, the various administrative offices and the committees described in this handbook for further information and guidance.

There is an expectation that each faculty member will become acquainted with and conform to all the policies and procedures, *Rules and Regulations* of the Board of Regents of the Texas State University System, and all other official publications relating to their appointment and to the accomplishment of their work and positions as faculty members of Sam Houston State University.

The policies in this handbook are current at the time of its publication; however all University policies and rules are subject to change without prior notice. Additionally the Board of Regents will adopt changes to its *Rules and Regulations* and that will alter some of the policies stated herein. All effort has been made to address conflicts, but in the unlikely event of any conflict between the Faculty Handbook and the Board of Regents’ *Rules and Regulations*, the Board of Regents’ *Rules and Regulations* have precedence.
Official Policies and Procedures

Official academic policies are found in the Texas State University System Board of Regents’ *Rules and Regulations, Academic Affairs Policy and Procedures Statements*, and in the *University’s Academic Policy Manual*.

Academic Governance

Introduction

Final authority for Texas higher education rests with the Legislature, which creates all public institutions; makes all appropriations; determines policy; accepts or overrules decisions of the Coordinating Board; and influences appointments through the advice and consent powers of the Senate.

The Texas Legislature sets broad policy while delegating implementation to appropriate officials. The Legislature has responsibility for financing public higher education, and authorizes funding methods to promote educational quality while demanding effective resource management and accountability.

Board of Regents – The Texas State University System

The official governing body of Sam Houston State University is the Board of Regents of The Texas State University System. Institutions comprising The Texas State University System and governed by this Board are Lamar University; Lamar State College – Orange; Lamar State College - Port Arthur; Lamar Institute of Technology; Sam Houston State University; Texas State University; and Sul Ross State University. The Texas State University System’s *Rules and Regulations*, adopted September 1, 1980, and revised annually, is both current and comprehensive in identifying, defining, and describing Board authority and policies of governance.

University Organization and Administration

The *organizational structure* of Sam Houston State University is one of line and staff. The President is the chief operating officer of the University and reports to the Board of Regents of The Texas State University System. Reporting to the Office of the President are the Provost and Vice President for Academic Affairs, Vice President for Finance and Operations, Vice President for Student Affairs, Vice President for University Advancement, Vice President for Enrollment Management, Vice President for Information Technology, and the Director of Athletics.

President of the University

The President is directly responsible to the Board of Regents of The Texas State University System, by whom they are employed. The President is charged with the responsibility of developing and maintaining efficiency and excellence within the University. All administrative channels—academic, student, and fiscal—are ultimately responsible to the President who accepts responsibility for all facets of the University's operations. The President speaks for the University in its relations with the Texas Higher Education Coordinating Board, with members of the State Legislature, and with the Governor and members of the Governor’s Staff.
President’s Cabinet
Membership to the President's Cabinet is by virtue of administrative position. The Cabinet is composed of the President, Provost and Vice President for Academic Affairs, Vice President for Student Affairs, Vice President for Finance and Operations, Vice President for Enrollment Management, Vice President for University Advancement, Vice President for Information Technology, Director of Athletics, and the Chief of Staff and is chaired by the President. The stated purpose of the President's Cabinet is to study, review, and make recommendations on matters brought up by the committee members; to consider University-wide issues and make recommendations where appropriate; to disseminate information on University activities; and to coordinate, when necessary, University-wide activities and policies.

Vice President for Finance and Operations
The Vice President for Finance and Operations is the chief fiscal officer of the University and reports directly to the President. Responsibilities of this position include: developing and maintaining basic financial accounting and record systems, developing and maintaining a fiscal management information system for use as historical data and projections, submitting financial status reports to the President, preparing the annual budget, and managing funds belonging to the University. Reporting to the Vice President for Finance and Operations are the Associate Vice President for Finance and Operations, Associate Vice President for Facilities Management, Associate Vice President for Human Resources and Risk Management, Treasurer, and Public Safety Services.

Vice President for Enrollment Management
The Vice President for Enrollment Management provides overall leadership and direction for the University’s student recruitment, admissions, and financial aid programs. Reporting to the Vice President for Enrollment Management are the Associate Vice President for Enrollment Management, the Assistant Vice President for Enrollment Management Communications, and the Assistant Vice President for Institutional Effectiveness.

Vice President for Student Affairs
The Vice President for Student Affairs is charged with a broad spectrum of student concerns embracing a student development philosophy that stresses the holistic development of individuals. Programs and services offered complement the educational mission of the University. Reporting to the Vice President for Student Affairs is the Associate Vice President for Student Affairs and Recreational Sports, the Assistant Vice President for Student Affairs and Bearkat OneCard, the Assistant Vice President for Student Affairs, Counseling and Health Services, the Dean of Students, and the directors of Student Activities, Student Affairs Finance and Budget, Residence Life, Leadership Initiatives, and Equity, Inclusion and Title IX.

Vice President for University Advancement
The Vice President for University Advancement is responsible for coordinating the fund development efforts for the University and reports directly to the President. This office seeks ways to increase the University's capacity to serve its community and provides opportunities for individuals, corporations, foundations and groups to share in the institution's educational endeavors by providing resources not
available through state and federal appropriations. Reporting to the Vice President for University Advancement are the Associate Vice President for Marketing and Communications, Associate Vice President of Development, Associate Vice President for Alumni Relations, the Director of the Sam Houston Memorial Museum, and the Director of Advancement Services.

**Vice President for Information Technology**
Information Technology, known as IT@Sam on our campus, offers technology support for students, faculty, and staff. In addition, this division explores and evaluates possible software solutions for data collection and processes as well as building and maintain the hardware infrastructure of the classrooms. Reporting to the Vice President of Information Technology are the Associate Vice President for Infrastructure and Support Services, the Associate Vice President for Enterprise Services, the Associate Vice President for Client Services, the Information Security Officer, the Director of IT Project Management and the Director of IT Finance and Budget.

**Director of Athletics**
The Director of Athletics is responsible for the overall management and direction of Athletics for the university. The Director plans, organizes, directs, and implements the overall operations of the Athletic Department. In addition, the Director provides oversight and leadership for athletic staff and coaches, budget planning and execution, NCAA compliance, and public relations.

**Provost and Vice President for Academic Affairs**
The Provost and Vice President for Academic Affairs is the chief academic officer, reports directly to the President of the University, and serves on the President’s Cabinet. Responsibilities of this position include the supervision of all matters, policies, procedures, and activities within the [Division of Academic Affairs](#). Reporting to the Provost are the Academic Deans, Vice Provost, Associate Vice President for Research and Sponsored Programs, Associate Vice President of Distance Learning, Associate Vice President of Planning and Assessment, and the Director of the Newton Gresham Library.

**Vice Provost**
The Vice Provost reports to the Provost and Vice President for Academic Affairs and is charged with a broad spectrum of academic concerns including the Academic Common Market and out-of-state/foreign and off-campus instruction. Reporting to this position are: the Associate Vice Provost; Academic Affairs Project Manager; Military Science Department; the Professional and Academic Center for Excellence (PACE); the Center for Community Engagement; and Honors College.

**Associate Vice Provost**
The Associate Vice Provost reports to the Vice Provost and is responsible for student success initiatives and oversees the Academic Success Center, the Office of International Programs, the Student Advising and Mentoring (SAM) Center; the Office of Student Success Initiatives, and The Woodlands Center.
**Faculty Administrative Fellow**
This position is designed for faculty who wish to gain more administrative experience by working on special projects in the Provost's Office.

**Project Manager**
The Project Manager for Academic Affairs supports the Office of the Provost and Vice Provost and academic units, focusing on student success measures and metrics: from assisting with software and program evaluation, implementation, and managing oversight; to researching and developing reports, datasets, and presentations; to liaising and making connections among various academic and administrative units through various committee and ad-hoc team work.

**Associate Vice President for Research and Sponsored Programs**
The Associate Vice President for Research and Sponsored Programs reports to the Provost and Vice President for Academic Affairs. The responsibilities assigned to this position include: reviewing and recommending approval, as appropriate, of all proposals for external funding of grants and contracts for research; coordinating University research activities; serving as Chair of the Faculty Research Council; providing assistance to faculty members in the preparation of external grant proposals and contracts for research funding; and oversight of certain sponsored programs. Reporting to the Associate Vice President for Research and Sponsored Programs are the Executive Director of Research Centers; Director of Collaborative Programs; Associate Director for Proposal Submissions; Director of Commercialization & Intellectual Property; Specialist for Research Compliance; and Texas Research Institute for Environmental Studies (TRIES).

**Associate Vice President for Distance Learning**
The Associate Vice President for Distance Learning reports to the Provost and Vice President for Academic Affairs. The responsibilities assigned to this position include coordination and oversight of distance learning programs and courses, providing support to both students and faculty involved in distance learning courses.

**Associate Vice President for Academic Planning & Assessment**
The Office of Planning and Assessment is a resource supporting continuous improvement assessment initiatives, supporting institutional accreditation and accountability measures, coordinating the academic strategic planning process, and facilitating undergraduate program review process. The Associate Vice President for Academic Planning & Assessment reports to the Provost and Vice President of Academic Affairs. Reporting to the Associate Vice President for Academic Planning and Assessment is the Director of Assessment.

**Director of the Newton Gresham Library**
The Director of the Newton Gresham Library is responsible to the Provost and Vice President for Academic Affairs for library administration and operation and for the effective use of library facilities by faculty, students, and staff. Accordingly, the Director of the Newton Gresham Library works with a University
committee to develop and expand the library program as an integral part of the educational program of the University.

**Academic Deans**
The Academic Deans are the administrative heads of the University's academic colleges. They report to the Provost and Vice President for Academic Affairs. They are responsible for all programs of instruction, research, and public service carried out by their respective colleges. These duties include the development, coordination and implementation of core curricula in all programs within their respective colleges and integration of instructional programs within and among the departments under their authority. Deans are expected to formulate objectives, policies and standards for their respective colleges, to supervise the current operations of the instructional programs, and to communicate with department chairs, program coordinators, faculty, and students under their jurisdiction. In faculty matters, their responsibilities include making recommendations to the Provost and Vice President for Academic Affairs for employment, retention, and advancement of personnel assigned to the college in accordance with university policies addressing affirmative action, promotions, staffing, tenure, etc. Each dean also reviews, endorses, and forwards department chairs' proposals to the Provost and Vice President for Academic Affairs.

Each dean is responsible for the coordination and supervision of all graduate programs within his/her college, including the supervision of departmental advisement of graduate students, the review of graduate courses and curricula, the submissions of recommendations regarding the awarding of assistantships and fellowships after consultation with department chairs and the maintenance of student records of candidates for advanced degrees. These duties are performed within the general procedural guidelines established by the Office of the Provost and Vice President for Academic Affairs.

A dean may call meetings of any number of department chairs and faculty within the college in order to seek advice, receive recommendations and initiate discussion concerning the policies and programs applicable to the departments/units within the college. Each dean assists in the preparation of the budget and is responsible for overseeing the judicious expenditure of funds allotted to the operation of each department within the jurisdiction.

**Assistant and Associate Deans**
Assistant/Associate Deans in each college assist the dean with the administrative duties required for the effective and efficient management of the college.

**Department Chairs**
Each department chair is responsible for the effective and efficient operation of the instructional programs under his/her authority. The department chair determines the teaching duties of the departmental faculty, holds regular staff meetings and directs academic counseling within the department unit.
Aided by the counsel of the faculty, he/she develops and revises the curricula of the department in a manner consistent with both current and long-range requirements. The chair takes the initiative in faculty recruitment and prepares dossiers on prospective faculty for the dean to present to the Provost and Vice President for Academic Affairs. The chair makes recommendations concerning the continuing employment or promotion and salary increments of faculty within the department and is responsible for ensuring compliance with affirmative action and equal employment policies and guidelines. In addition, the department chair is responsible for ensuring that all policies and procedures are followed in the performance appraisal process of adjunct, tenure-track, and tenured faculty.

**Faculty Senate**

The Faculty Senate exists “In order to develop fully the freedom of discussion, participation, and examination of ideas by faculty, students, and administration in the search for truth...” to quote the Preamble to the Charter of the Faculty Senate of Sam Houston State University.

To locate more information on the Faculty Senate of Sam Houston State University, including meeting minutes, current roster and constitution and bylaws, see the Faculty Senate website at [http://www.shsu.edu/~org_sen/](http://www.shsu.edu/~org_sen/).

**Academic Affairs Council**

The Academic Affairs Council serves in an advisory capacity to the Provost and Vice President for Academic Affairs. Membership is by virtue of position and includes all deans, associate deans, department chairs, and members of the Provost’s leadership team. The Academic Affairs Council provides a forum for the discussion of academic matters, serves as an initial academic policy development and review body as requested by the Provost and Vice President for Academic Affairs, and provides a forum for communicating more effectively on all academic concerns.

**Committee Structure of the University**

University committees are included in the [Committee Book](http://www.shsu.edu/~org_sen/). Each entry in the Committee Book includes a statement of the committee's purpose, appointment procedures, and current chair and committee members’ names, along with term expirations.

**Faculty Academic Employment Policies**

**Commitment to Affirmative Action and Equal Opportunity**

Sam Houston State University declares and reaffirms a policy of equal employment opportunity, equal educational opportunity, and non-discrimination in the provision of education and other services to the public.

Sam Houston State University reaffirms its policy of administering all educational programs and related supporting services and benefits in a manner which does not discriminate because of a student's or prospective student's race, color, creed or religion, sex, national origin, age, disability, or other characteristic which cannot lawfully form the basis for provision of such service.
It is the University policy that each applicant will be considered for employment solely on qualifications for the position without regard for race, color, national origin, religion, sex, age, disability, or prior military service. The University is an Equal Opportunity/Affirmative Action Employer, and vigorously supports non-discriminatory policies in the initial employment process and in advancement opportunities for our employees.

**Appointments to the Faculty**

In the process of an appointment, the dean/director of the college/library will verify the preferred candidate’s previous experience and performance with administrative officers for whom the candidate has previously worked. Prior consultation by the dean or director with the Provost and Vice President for Academic Affairs will verify that the candidate is indeed qualified and that the individual is the most suitable candidate for the position that has been properly publicized.

The dean or director will attach a letter of recommendation incorporating elements for rank and salary. It is to be clearly understood at all stages of negotiations that the President of the University has the sole power to recommend to the Board of Regents, and that the Board is the agent with the power to appoint. The institution cannot honor commitments from any other officer. For full coverage of this policy, please see The Texas State University System, Board of Regents' *Rules and Regulations*, Chapter V, Subsection 4.13 “Appointments”, the Academic Policy Statement 041020, “Appointment of Clinical Faculty Members” and 911106, “Appointment of Visiting Scholars.”

**Dismissal of Faculty**

Termination of the employment of a tenured faculty member and of all other faculty members before the expiration of the stated period of their appointment will be only for good cause shown. The policy on dismissal and subsequent due process procedures are addressed in The Texas State University System, Board of Regents’ *Rules and Regulations*, Chapter V, Subsection 4.5 “Termination and Due Process Procedures”, Chapter V, Subsection 4.6 "Termination of Faculty Employment Under Special Circumstances”, and Chapter V, Subsection 4.282, “Performance Review of Tenured and Other Faculty.” Additional policies addressing aspects of this issue may be found in Academic Policy Statements 900417, “Faculty Reappointment, Tenure and Promotion” and 820317, “The Faculty Evaluation System”, and 980204, “Performance Evaluation of Tenured Faculty.”

**Faculty Evaluation System**

The Faculty Evaluation System is important for purposes of faculty development, promotion in academic rank, adjustments in salary and, contract review for probationary, and non-tenured and non-tenure track faculty members. For complete coverage of this policy, please see The Texas State University System, Board of Regents' *Rules and Regulations*, Chapter V, Subsection 4.28 "Performance Reviews", and Chapter V, Subsection 4.3 "Promotion.” See also SHSU’s Academic Policy Statement 820317, "The Faculty Evaluation System", Academic Policy Statement 900417, "Faculty Reappointment, Tenure, and Promotion”, Academic Policy Statement 800722, "Merit Advances in Salary", and Academic Policy Statement 110720, “Market Advances in Salary.” There may also be guidelines regarding evaluation in
individual programs, departments, and colleges, please refer to your director/chair/dean for specific information.

**Tenure**

Policies regarding tenure are in Academic Policy Statement 900417, “Faculty Reappointment, Tenure and Promotion” and The Texas State University System Board of Regents’ Rules and Regulations, Chapter V, Subsection 4.2, “Tenure.”

**Promotions in Rank**

The academic rank system serves as a guide for the placement of newly appointed faculty personnel and provides for the annual promotion and salary merit advances within rank. Promotions and salary advances in rank are awarded on the basis of merit, except on those occasions when the Legislature mandates periodic salary adjustments for all faculty. For an explanation of this policy, please see The Texas State University System Board of Regents Rules and Regulations, Chapter V, Subsection 4.3, "Promotion", Academic Policy Statements 800722, “Merit Advances in Salary” and 820317, “The Faculty Evaluation System.”

**Non-reappointment and Denial of Tenure**

“A non-tenured faculty member, who is notified of non-reappointment in accordance with Board of Regents’, Rules and Regulations, Chapter V, Subsection 4.14, “Reappointments” or who is notified in accordance with Chapter V, Subsection 4.24, “Maximum Probationary Service”, that tenure has been denied and that the subsequent academic year will be the terminal year of appointment, shall not be entitled to a statement of the reasons upon which the decision for such action is based.” (Rules and Regulations, The Texas State University System, Board of Regents, Chapter V, Subsection 4.27, “Non-Reappointment and Denial of Tenure”). See also Chapter V, Subsection 4.26, “Non-Tenured Faculty" for further information on policy addressing non-tenured faculty in the Rules and Regulations of The Texas State University System’s Board of Regents. Sam Houston State University’s policy on non-reappointment is addressed in Academic Policy Statement, 900417, “Faculty Reappointment, Tenure and Promotion.”

**Grievance Procedure**

Any faculty member of Sam Houston State University has the right to appeal and eventually grieve an administrative decision that directly affects the individual as a faculty member and that is considered to be a violation of University policy or a violation of professional rights and responsibilities. Please refer to the Faculty Grievance Procedures (http://www.shsu.edu/dotAsset/2dd72dd1-e5b3-4278-99b7-c3b5ed316605.pdf) for the applicable TSUS’ Rules and Regulations to grieve different types of issues.

**Interim Faculty Members**

For a complete explanation of interim faculty members benefits, please refer to Academic Policy Statement 830401, “Insurance Fringe Benefits, and Sick Leave Accrual for Interim Faculty Members” and Academic Policy Statement 800328, “Faculty Administrative Leave Policy” and 800215, "Faculty Administrative Leave Program."
Outside Employment for Faculty

The policy regarding outside employment is addressed in Human Resources Policy ER-6 “Outside Employment.” This policy is in compliance with The Texas State University System Board of Regents’ Rules and Regulations, Chapter V, Subsection 4.83, “Outside Employment.”

Summer Employment

Faculty employed for the nine-month academic year are not guaranteed employment during the summer sessions, because enrollment is generally much less than during the long semesters. Guidelines for selection of faculty for summer school teaching assignments are as follows: Paramount among all considerations should be the needs of an individual department or instructional program as expressed in terms of requirements for course offerings.

Careful consideration should be given to how well the expertise of those faculty members who request summer employment matches the requirements of the department’s instructional program. To the fullest extent possible, summer teaching assignments should be given to tenured or tenure-track faculty of the department. Attention should be given to developing an equitable rotation system for selecting faculty members for summer employment, provided that the system follows the above criteria. In the interest of answering compliance, each dean is asked to remind the chairs of these guidelines and to monitor carefully the appointment of all summer teaching faculty. The services of department chairs are generally required throughout the summer.

Professional Librarians

Sam Houston State University professional librarians are accorded faculty status and therefore have the same privileges and responsibilities as regular faculty members. Professional librarians are considered full participants in the teaching function both directly, through their work with students conducting research, and indirectly, through developing the collection and organizing it for optimum access. For the complete policy coverage, please see Academic Policy Statement 810814, “Tenets for Faculty Status for Academic Librarians.”

Retirement and Emeritus Status

Sam Houston State University adheres to the policy of The Texas State University System’s Board of Regents’ Rules and Regulations, Chapter V, Subsection 2.3, “Retirement and Recognition of Service,” Chapter V, Subsection 4.9, “Honorary Titles and Emeritus Faculty” and Chapter V, Subsection 4.10, Miscellaneous, (3) “Retired Faculty” with Academic Policy Statements 800925, “Faculty Retirement and Emeritus Status” and 840901, “Early Retirement Program for University Faculty.”
Benefits, Leaves, and Awards

Excellence in Teaching, Service, and Scholarly and Creative Accomplishments
These awards are made annually to recognize one outstanding faculty member in each of the categories of teaching, research and scholarly work, and service. The recipients each receive a $5,000 monetary award for excellence and a medal of commendation.

David Payne Academic Community Engagement Award
This University award, with a cash stipend of $5,000 and a commendation medal, honors a faculty member who has achieved excellence in service to the community through ACE (Academic Community Engagement) course work. Recipients of this award have made a difference in communities. They have taught SHSU students the value of community engagement and collaborated with community partners to meet community needs and improve the quality of life.

Minnie Stevens Piper Professor Award
Organized in 1950, the Minnie Stevens Piper Foundation is a non-profit, charitable corporation focused on postsecondary education in Texas. Each year, the foundation selects ten Piper Professors from across Texas for their superior teaching at the college level. The Piper Professor Award recognizes professors for outstanding academic, scientific, and scholarly achievement and for dedication to the teaching profession. These awards are intended to provide increased recognition of teaching excellence, although the Foundation's Selection Committee also considers research, publication, and related activity.

Designation of Distinguished Professors
Appointment to a University Distinguished Professorship is a special honor conferred upon active faculty in recognition of an extended period of service that may be marked by unusual and exemplary contributions to the University. For the full policy please see Academic Policy 860425, "Designation of Distinguished Professors."

Faculty Administrative Leave
Sam Houston State University is committed to providing faculty development opportunities whenever feasible. The program's purpose is to provide an opportunity for tenure or tenure-track faculty members, through a released-time arrangement, to acquire administrative experience and to contribute professional expertise by serving in a professional level administrative staff capacity in a selected administrative area for a specified period of time. For complete coverage of this policy please refer to Academic Policy Statement 800215, “Faculty Administrative Leave Program.”

Faculty Developmental Leave
In accordance with The Texas State University System, Board of Regents' Rules and Regulations, Chapter V, Subsection 4.81, “Faculty Development Leaves”, Sam Houston State University provides development
leaves designed to enable faculty members to engage in study, research, writing and similar projects for the purpose of adding to the knowledge available to the faculty, students and the Institution. For complete coverage of this policy please refer to Academic Policy Statement 800328, “Faculty Development Leave Policy.”

Other Leaves of Absence
For complete coverage of policies regarding sick leave, vacation leave, emergency leave, jury duty, maternity leave, military/volunteer firefighter leave of absence, leaves of absence without pay, the Federal Family and Medical Leave Act (FMLA) and parental leave refer to Human Resources Policy B-1, “Employee Leaves.”

Faculty Study
To encourage faculty members to broaden their education, it is the University's policy to permit each faculty member to take one course each long semester, if the course does not interfere with the individual's working/teaching assignment. The State of Texas does not permit discounted tuition for State employees; however, faculty members through the rank of assistant professor are eligible to apply for the Employee Education Assistance Program. For more information on this program, please refer to Human Resources Policy B-5, “Employee Development.”

Faculty Travel
Sam Houston State University is well aware of the value of professional meetings for faculty. Such travel, however, must be well justified and approval must be obtained in advance. Arrangements for classes to be missed must be finalized in advance of the trip. All travel is subject to the Finance and Operations Travel Policies found in the Travel Procedures section of the Office of Disbursements & Travel Services website. Procedures detailed on the webpage include the following:

<table>
<thead>
<tr>
<th>Types of Travel Funding</th>
<th>Rental Car</th>
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<tbody>
<tr>
<td>Definition of Terms</td>
<td>Mileage</td>
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<tr>
<td>Classification of Travelers</td>
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<tr>
<td>Travel Requisition</td>
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<td>Request to Close a Travel Requisition</td>
<td>Driving vs. Airfare to Out-of-State Destination</td>
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<td>Allowable Travel Expenses</td>
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<td>Personal Travel Included in with Business Travel</td>
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<td>Hotel Taxes</td>
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<tr>
<td>Transportation</td>
<td>Expense Reports and Settlements</td>
</tr>
<tr>
<td>Commercial Airline</td>
<td>Exceptions</td>
</tr>
</tbody>
</table>
Since all travel must be approved in advance and flight arrangements made through the Concur booking tool, the faculty are encouraged to contact the departmental administrative assistant within academic departments for questions and assistance with travel. Additional assistance may be obtained from the Office of Disbursements and Travel Services.

**Interim Faculty Members**

For a complete explanation of interim faculty members benefits, please refer to Academic Policy Statement 830401, “Insurance Fringe Benefits, and Sick Leave Accrual for Interim Faculty Members.”

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**Curriculum**

**Syllabus Guidelines**

The following information is to be included on all syllabi. Colleges may opt to require additional information.

<table>
<thead>
<tr>
<th>Course Identification</th>
<th>Instructor Information</th>
<th>Course Information</th>
<th>Required Policies</th>
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<tbody>
<tr>
<td>Course Name</td>
<td>Name</td>
<td>Course Description (i.e. 400-level class for graduate credit, independent study)</td>
<td>Faculty may opt to link to <a href="http://www.shsu.edu/syllabus">www.shsu.edu/syllabus</a></td>
</tr>
<tr>
<td>Course Number</td>
<td>Contact Information</td>
<td>Learning Outcomes</td>
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<td>Credit Hours</td>
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<td>Required and Optional Text and other Resources</td>
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<td>Class Location</td>
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<td>Make-up Policy</td>
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</tr>
</tbody>
</table>

| Tentative Course Outline |

In addition to the above, individual colleges may have additional requirements. Faculty may opt to include additional information such as study tips, instructor evaluations, information about academic support.
services, availability of tutoring, and classroom rules of conduct. All syllabi must be placed on Blackboard. Any revisions to the syllabus must be communicated to the students and a revised copy placed on Blackboard.

**Textbook Adoption**

When selecting a textbook for a course, there should be a reasonably close correlation between the contents of the textbook, the catalog description of the course, and the learning objectives listed on the syllabus. Care in the decision making process for textbook selection should also include examination of the expense of the text materials, with an eye to selecting the text that balances content with a lower sticker price for our students.

Barnes & Noble, SHSU’s bookstore provider, has implemented *FacultyEnlight* to make the textbook selection and ordering process easier. To learn more about this software, click [here](#).

**Curriculum Development and Evaluation**

Curriculum development typically is initiated by faculty at the departmental level and subsequently progresses through college and University reviews for internal recommendations and approval. Issues of academic need and content, quality and effectiveness are addressed at each stage in the curriculum development process.

Once the department and college have completed their review of a new course or new program, the Curriculum Committee reviews submissions to determine if information provided for new courses and/or new programs is complete, to analyze proposed additions and changes in course titles to avoid possible overlap or duplication, and to work toward potential problem solutions before the matters are discussed by the Academic Affairs Council. Committee members must be knowledgeable of their college’s curriculum submissions and able to respond to most questions that arise. Conflicts between the final recommendations of the Academic Affairs Council and reports originally submitted by the deans, will be resolved individually between the Provost and Vice President of Academic Affairs and the appropriate dean.

The Curriculum Report which bears the endorsement of the Provost and Vice President for Academic Affairs shall be prepared in proper format and will be presented to the President by the Provost and Vice President for Academic Affairs for inclusion in The Texas State University System's Board of Regents Meeting agenda, as detailed in The Texas State University System's, *Board of Regents’ Rules and Regulations*, Chapter III, Subsection 5.1, “Curriculum Procedures.”

**Prerequisite Policy**

In order to ensure that instructors can present the required important course material at the appropriate level, students must demonstrate adequate preparation to take these courses. Students must meet the prerequisite requirements for a course. The Sam Houston State University Prerequisite Policy is addressed in Academic Policy Statement 100428, “Prerequisite Policy.”
Professional Responsibilities

Academic Freedom and Responsibilities
Sam Houston State University is committed to academic freedom and is in accord with the Rules and Regulations of the Board of Regents of The Texas State University System, Chapter V, Subsection 4.7, “Rights and Responsibilities as a Teacher and Citizen.” This policy addresses specifically the academic freedom accorded a faculty member, and the responsibilities and duties required of a faculty member as both a teacher and a citizen.

To safeguard and protect the academic freedom of faculty members, Sam Houston State University adheres to the following policy of The Texas State University System as stated in the Board of Regents’ Rules and Regulations:

Chapter V, Subsection 2.15: Grievances
2.15 Grievances. Every employee of each Component, individually or through a representative that does not claim the right to strike, shall be entitled to present grievances to a hearing officer designated by the President concerning such employee’s wages, hours of work, or conditions of work. Such grievances shall not involve formal hearings.

Faculty Availability
A faculty member is expected to publish hours and be available for student consultation during those times. Availability may include office hours, online conferencing, consultation time at The Woodlands Center or other offsite teaching venues, as well as scheduled times for student conferences via other communication media. It is expected that these hours be reasonable and consistent with the faculty member’s teaching schedule, venue, and workload designation.

Adherence to the Class Schedule
Most faculty-student contacts are made in the classroom and in the faculty member’s offices. Classes are scheduled to meet on specified days and for a specific length of time. Special holidays or other exceptions to the schedule, if not stated in the official calendar, are proclaimed in written announcements from the President or from the Provost and Vice President for Academic Affairs. Adherence to the final examination schedule and the proper completion of all duties associated with the opening and closing of a semester are required. Faculty are expected to hold all regularly scheduled class meetings.

Faculty Absences
When the faculty member cannot hold a regularly scheduled class, the department chair should be contacted. The chair can assist the faculty member to make appropriate accommodations. The Board of
Regents of The Texas State University System, in their *Rules and Regulations*, has adopted the following policy concerning faculty absences, Chapter V, Subsection 4.82, “Absences.” Specific questions related to faculty absences and definitions of terms are addressed in Human Resources Policy B-1, “Employee Leaves” and in Academic Policy Statement 800215, “Faculty Administrative Leave Program.”

**Instructional Workload**

The faculty workload policy for Sam Houston State University is designed to comply with Vernon’s Texas Codes Annotated, Education Code §51.402, and will be reported to the Texas Higher Education Coordinating Board and included in the operating budget for the University. The policy and guidelines reflect the essential nature of the University as a teaching institution but allow flexibility to permit accommodation of related research activities essential to the effective operation of a multipurpose regional university. For complete coverage of the Faculty Instructional Workload Policy, refer to Academic Policy Statement 790601, “Faculty Instructional Workload Policy.”

**Attendance Verification**

While Sam Houston State University is not required by any accrediting agency to take attendance, federal guidelines demand that we must be able to verify that financial aid recipients are eligible for the financial aid that has been awarded and disbursed to them (Department of Education Federal Student Aid Handbook). This is why attendance feedback from instructors is mandatory. If we cannot verify students’ academically-related participation in a class, they will lose financial aid eligibility, and the Institution will be required to pay back the financial aid.

In an effort to provide support for this process, SHSU has created a systematic “How-To” guide that outlines how and where to report attendance.

**Commencement Participation**

Participation in commencement exercises is an expectation of tenure-track and tenured faculty members. Please see Academic Policy Statement 791221, “Faculty Participation in Commencement” for a full explanation of this expectation.

**Acceptance of Money from Students**

The *Rules and Regulations* of the Texas State University System Chapter V, Subsection 4.85, "Acceptance of Money from Students", states: “Faculty members shall not, without approval of the President or his/her designee, collect from students any fees or charges to be expended for Component purposes or sell to students books, notes, materials or supplies. Faculty of the rank of lecturer or above, and other instructional personnel as designated by the Component President, may not accept pay from students for extra instruction or teaching or students registered in the Component. With prior written approval of the President or his or her designee, instructional employees below the rank of lecturer may accept pay from students for extra-class instruction or coaching but only in courses or sections of courses with which they have no instructional connection. The faculty handbook of the Component shall specify the procedure for approval at the Component level.”
The following describes the procedure for obtaining approval for accepting pay from students for extra-
class instruction or coaching for instructional employees below the rank of lecturer:
Submit to Department Chair, in writing, a request to charge students for extra-class instruction, or
coaching, within the parameters set forth in the above-cited Chapter V, Subsection 4.85 of the Rules and
Regulations of the Texas State University System. In the request, include:
1) name and rank,
2) statement of which courses currently instructing,
3) list of course or courses for which extra-class instruction or coaching will be provided.
A written approval or denial of request will be issued within 10 working days.

Nepotism
Sam Houston State University adheres to the policy of The Texas State University System, Board of
Regents’, Rules and Regulations, Chapter V, Subsection 2.2., “Appointment of Relatives (Nepotism Rule).”
For complete details, please refer to Human Resources Policy E-2, “Nepotism.”

Professional and Academic Center for Excellence (PACE)
PACE provides professional development that targets both student and faculty success. Focusing on
evidence-based teaching and leadership strategies, PACE offers a variety of programs ranging from high
impact practices in the classroom, to faculty writing groups, to graduate student teaching programs, and
faculty/staff book clubs.

Research by Faculty
One of Sam Houston State University's goals is to “Provide an educational environment that encourages
systematic inquiry and research,” and faculty members are encouraged to perform research within their
chosen disciplines and their individual interests. The faculty is also encouraged to seek funding for
research and instructional projects through the Office of Research and Sponsored Programs (ORSP).

All faculty, staff and student research projects with human participants and animal subjects must be
reviewed and approved for compliance with ethical principles before the research begins. Please see the
Institutional Review Board (IRB) for requirements in the use of human subjects and the Institutional
Animal Care and Use Committee (IACUC) for animal subjects. Also refer to Academic Policy Statement
920808, “Ethical Conduct in Academic Research and Scholarship.” If you are planning research, you should
also consult the more detailed policies available in the SHSU Research Policy Manual.
Sam Houston State University strictly adheres to The Texas State University System's policies concerning
copyrights and patents as stated in the Rules and Regulations of the Board of Regents, Chapter III,
Subsection 11, “Copyright Policy” and Chapter III, Subsection 12, “Patent Policy.”

Political Influence
No University money shall be used for influencing the outcome of any election or the passage or defeat
of any legislative measure. See President’s Office Policy PRE-017, “Political Influence.”
Use of Proctoring Services
Given that SHSU makes available to its distance and correspondence education students a number of free identity-verification options for proctoring services, faculty members may not require, as the sole option, a proctoring or identity verification service that requires a student charge.

Signatures
To improve services and reduce costs, Sam Houston State University (SHSU) authorizes, accepts, and encourages the use of electronic signatures for internal transactions when the use of such technology complies with acceptable forms of signatures described in the President’s Office Policy PRE-18, “Signatures for Internal Transactions” and improves efficiency.


Use of Portable and Electronic Devices
Faculty can elect to allow portable and electronic devices in the classroom, or disallow; it is the professor’s choice. Faculty should establish a clear policy for students to follow regarding portable and electronic devices and ensure it is on the course syllabus.

General Policies Affecting Faculty Members

Administrative Office Hours
All administrative offices shall be open 8:00 a.m. to 5:00 p.m., Monday through Friday, except for designated holidays. For the complete policy, please see the President’s Office Policy PRE-14, “Office Hours.”

Alcoholic Beverage Policy
The policy and procedures for alcoholic beverages on the SHSU campus is discussed in President’s Office Policy PRE-01, “Alcohol Beverage Policy.” The sale or service of alcoholic beverages on the Sam Houston State University campus is not permitted except in “special use” buildings or facilities designated and approved by the University President. Departments, individuals, or sponsoring organizations of events are required to follow the President’s Office Policy PRE-01, “Alcohol Beverage Policy” and submit the electronic Alcohol Beverage Service Request Form.

The possession and consumption of alcoholic beverages on any property owned and/or controlled by Sam Houston State University are prohibited except where permitted explicitly by published policy. The legal age for purchase, consumption and/or possession of alcoholic beverages in the State of Texas is 21 years of age. Violators of this State law and University policy will be subject to University penalties and criminal charges.
Audit Policy
All financial records, ledgers, and accounts shall be maintained in conformity with the rules and regulations of the State comptroller, State auditor, and other entities that have responsibility for setting financial management and reporting standards for State colleges and universities such as the Governmental Accounting Standards Board (GASB) and National Association of College and University Business Officers (NACUBO). These records are to be made available to external auditors and the University's Office of Audits and Analysis upon request. For complete information on this policy, please see President's Office Policy PRE-02, “Audit Policy.”

Information regarding the functions, duties and, procedures of the Office of Audits and Analysis can be found in The Texas State University System, Board of Regents’ Rules & Regulations, Chapter III, Subsection 7, “The Audit Function.”

Austin Hall Policy
Sam Houston State University recognizes the historical value of Austin Hall and the need to preserve this building as a Texas landmark. To that end, the use of Austin Hall is limited, and arrangements and reservations must be made through the Office of the President. For a reservation form, details on rental fee and deposit, and full coverage of the policy, please see President’s Office Policy PRE-03, “Austin Hall.”

Building Liaison Policy
The Sam Houston State University Building Liaison Policy provides information on the selection, training and duties of building liaisons. For the full policy, please see Finance & Operations Policy, FO-61, “Building Liaisons.”

Campus Key Policy
The Sam Houston State University Finance & Operations Policy, FO-FM-24, Campus Key Policy details information on building access, duplication and transfer of keys, campus master keys, key authorization procedures, key issue and return procedures, lock box keys and the implementation of fees for lost keys.

Departmental Academic Distinction Program
The Department Academic Distinction Program is an individualized learning experience available to academically outstanding students at Sam Houston State University. An Academic Distinction Program project provides qualified students with a comprehensive introduction to meaningful research under the guidance of a designated faculty advisor. For additional information, please refer to Academic Policy Statement 800521, “Department/School Academic Distinction Program.”

Drug-Free Workplace
Sam Houston State University policy prohibits the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance in the workplace. For complete coverage of this policy, please refer to Human Resources Policy ER-8, “Drug Free Workplace.”
Emergency Closings
To ensure the safety of students, faculty and staff, it may become necessary to cancel classes due to inclement weather or other emergencies. This policy is fully covered in the President’s Office Policy PRE-07, “Closing the Campus Due to Weather Related Emergencies.”

Gibbs Ranch Policy
Use of the Gibbs Ranch conference ranch house and grounds are limited to University organizations, service groups sponsored directly by the University, current or retired faculty or staff, and Sam Houston State Alumni Association members, Century Club status or higher, with the approval of the Office of the President. Reservation forms, rental fee and deposit information and full policy for the use of Gibbs Ranch are found in the President’s Office Policy, PRE-21, “Gibbs Ranch.”

Elliott T. Bowers Honors College
Honors education at Sam Houston State University is designed to be a supplement to and an enhancement of University academic experiences for undergraduates. For complete information regarding Sam Houston State University's Honors College, please go to the Elliott T. Bowers Honors College website.

KatSafe (Emergency Management)
Sam Houston State University uses the KatSafe system to alert the campus should there be an emergency. Depending on user preference, this notification is sent either by text message, phone call, or e-mail. Contact information and preferences can be updated online at http://www.shsu.edu/katsafe/event-preparation/katsafe-communications-instructions.

Emergency preparedness guidelines for situations such as active shooters, fire, hurricanes, tornado, and first aid are found on the Emergency Management website.

Library Use Policy
The purpose of this policy is to help ensure the maximum accessibility and use of library materials, resources and services to students, faculty, and staff of Sam Houston State University. For the complete policy, please see Academic Policy Statement 840606, "Library Use Policy.”

Medical Emergency Procedures
A medical emergency that includes an accident, injury, or illness should be reported to the University Police Department at 936-294-1794 (on campus: 4-1794); however, when time is critical in saving a person’s life, immediately call 8-911.

Members Not Employed by SHSU Serving on Thesis and Dissertation Committees
The purpose of this policy is to provide a procedure whereby highly qualified individuals not employed by Sam Houston State University (SHSU) may serve on SHSU thesis and dissertation committees. This will enable our students and faculty to interact with prominent individuals in the appropriate topic area. For full coverage of this policy, see Academic Policy Statement 950601, "Members Not Employed by SHSU Serving on Thesis and Dissertation Committees.”
Peabody Library Policy
Sam Houston State University recognizes the historical value of the Peabody Library and the need to preserve this building as a Texas landmark. To that end, the use of the Peabody Library is limited, and arrangements and reservations must be made through the Office of the President. For a reservation form, rental fee and deposit details, and the policy and procedures, please see President’s Office Policy, PRE-16, “Peabody Library.”

Smoking Policy
In order to promote a healthy, safe, and aesthetically pleasing work, educational, and living environment, Sam Houston State University (SHSU) will endorse a smoke free and tobacco free environment. This policy and its general rules are explained in the President’s Office Policy, PRE-19, “Tobacco Policy.” For additional policy on the use of tobacco products at Sam Houston State University, please see Academic Policy Statement 890228, “Use of Tobacco Products in Academic Classrooms and Facilities.”

Space Management Policy
The Sam Houston State University Space Management Policy establishes a Campus Space Planner and a Campus Space Planning Committee to provide careful and efficient management of property and space on campus. For more information and full coverage of this policy, see Finance & Operations Policy, FO-FM-60 “Space Management Policy.”

University Publications
The policy covering all University publications is found in Administrative Policy and Procedures, University Advancement Policy UA-05, "University Publications and Marketing Communications."

Academic Procedures

Academic Advisement and Mentoring
The Student Advising and Mentoring (SAM) Center provides academic advising and mentoring to undergraduate students to help them succeed in their academic programs. A cadre of professional advisors is available to help students with the planning and execution of their academic pursuits. Students have access to trained, expert advisors who can explain all aspects of the academic experience. Advisors become students’ guides through their tenure at the University. The SAM Center offers a wide variety of mentoring programs for all students. The SAM Center designs programs to help individual students and works directly with faculty and administrators to help students with individual classes.
Academic Dishonesty
The University expects students to engage in all academic pursuits in a manner that is above reproach. Students are expected to maintain complete honesty and integrity in the academic experience both in and out of the classroom. Accusations of academic dishonesty, proceedings and subsequent disciplinary actions are addressed in The Texas State University System, Board of Regents, Rules and Regulations, Academic Honesty, Chapter VI, Subsection 5.3, “Academic Honesty” and in the University’s Academic Policy Statement 810213, “Procedures in Cases of Academic Dishonesty.”

Academic Grievance Procedures
Students are provided with a procedure to address any grievance they may have of an academic nature. This includes disputes over course grades, unauthorized class absences or tardiness, suspension for academic deficiency, and an instructor’s alleged unprofessional conduct related to academic matters. The policy also includes disputes involving graduate comprehensive and oral exams, theses and dissertations. These and other matters pertaining to a student’s academic grievance are addressed specifically in Academic Policy Statement 900823, “Academic Grievance Procedure for Students.”

Academic Probation and Suspension
Academic Policy Statement 910312, "Academic Probation and Suspension ", located in the Curriculum and Instruction section of the Academic Policy Manual, details the academic probation, suspension and termination regulations for undergraduate and graduate students at Sam Houston State University.

Attendance Policy for Class
General requirements for class attendance are as follows:

- Faculty are required to establish attendance requirements in each course.
- Each faculty member will inform students of the course attendance policy at the initial class meeting and will include the information on the course syllabus.
- Each faculty member will announce to their classes the course attendance policies for accepting late work or providing make-up examinations and include this information on the course syllabus.
- Students are responsible for understanding the attendance policy for each course in which they enroll and for meeting the attendance requirements.
- Students are expected to show appropriate cause for missing class or delaying major assignments or examinations.
- Failure to meet the attendance requirements in a course may lower grade(s), including a final course grade.
- Faculty members are expected to monitor course enrollment and class attendance.

The policy can be found at Academic Policy Statement 800401, “Class Attendance.”

Faculty-authored Class Materials
Textbooks, notebooks, manuals, or other materials that have been written or prepared by a SHSU faculty member must be approved before they may be placed on the syllabus. Requests to use faculty-authored materials should indicate the proposed pricing and profits. Once approved by the department chair, dean, and Provost, such authorization is effective through that fiscal year, ending on August 31.
**Student Absences on Religious Holy Days**
Sam Houston State University abides by the Texas Education Code, Section 51.911, requiring an institution of higher education to excuse a student from attending classes or other required activities, including examinations, for an observance of a religious holy day, including travel for that purpose. This policy is fully addressed in Academic Policy Statement 861001, “Student Absences on Religious Holy Days.”

**Student Rosters and Records**
In support of the University’s Attendance Initiative, student rosters are available electronically. To access student rosters, faculty login to My Sam, click on the Faculty tab at the top of the page and then click on the link to the summary class list (roster) listed under the Faculty Self Service links.

Student Records are under the custody and care of the President of the University and their designee, the Registrar. For a full discussion of the policy related to student records, please see Academic Policy Statements 810806, "Student Educational Records" and 830823, “Reproducing of Hard Copy of Student Academic Records from the University’s Computer Databank”.

**Use of Student-Provided Technological Devices**
Smartphones and similar devices (laptop computers, tablets, wearables, and others) have become increasingly a part of everyday life. In the academic classroom, however, these devices can become a serious distraction and during tests they can become a serious problem. To address these and other concerns, faculty are authorized and encouraged to institute and enforce a classroom policy on the use of such devices in the course syllabus for each class section.

**Visitors in the Classroom**
In the event an unannounced visitor attends a class, the instructor should request identification in the form of a current and official Sam Houston State University Bearkat OneCard identification card. If the visitor is not a registered Sam Houston State University student, the faculty member should act at their own discretion or refer the visitor to the department chair.

This policy is not intended to discourage the occasional visiting of classes by responsible persons. Obviously, however, the visiting of a particular class should be occasional and not regular, and it should in no way constitute interference with registered members of the class or the instruction thereof.

**Legal Compliance**

**Sexual Misconduct Policies and Procedures**
Sam Houston State University is committed to creating and maintaining educational communities in which each individual is respected, appreciated, and valued. SHSU maintains an environment that promotes prompt reporting of all types of sexual misconduct complaints. The University, in accordance with the Texas State University System Sexual Misconduct Policies and Procedures, will take prompt and appropriate action to eliminate sexual misconduct when such is committed, prevent its recurrence, and remedy its effects.
**Academic Instructional Staffing**
Sam Houston State University endorses the views of the United States Supreme Court in Grutter v. Bollinger (2003) that the educational benefits of diversity “are not theoretical but real;” that they include “cross-racial understanding;” the breaking down of racial stereotypes; and the promotion of learning outcomes. The University assumes responsibility for academic instructional staffing, as addressed in Academic Policy Statement 800114, “Academic Instructional Staffing,” and is also addressed in Sam Houston State University, Human Resources Policy ER-4, “Affirmative Action Plan.”

The Texas State University System, including its Components, is an equal opportunity/affirmative action employer and complies with all applicable federal and State laws regarding non-discrimination and affirmative action, including Title IX of the Education Amendments of 1972 and Section 504 of the Rehabilitation Act of 1973 and is specifically addressed in the Rules and Regulations, Chapter V, Subsection 2.11, “Equal Employment Opportunity.”

**Americans with Disabilities Act**
It is the policy of Sam Houston State University that no otherwise qualified individuals shall, solely by reason of their disability, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any academic program or activity. To that end, the University complies with the Americans with Disabilities Act of 1990, and has created Academic Policy Statement 811006, “Students with Disabilities Policy”, located in the Student Section of the Academic Policy Manual. For information regarding resources and services available to students, please contact the Office of Services for Students with Disabilities.

**Confidential Data Policy**
Sam Houston State University is committed to compliance with the Family Education Rights and Privacy Act of 1974 (FERPA). For a complete explanation of the policy regarding confidentiality of student academic records, please see Academic Policy Statement 810806, “Student Educational Records” and Academic Policy Statement 830823, “Reproducing of Hard Copy of Student Academic Records.”

**Consortial and Academic Contractual Agreement Review**
Academic Policy Statement 081217, "Consortial and Academic Contractual Agreement Review" provides the complete policy and procedure to ensure a periodic review and evaluation of consortial and academic contractual agreements at Sam Houston State University.

**Faculty Contracts**
Sam Houston State University provides each faculty member with a statement in writing of the terms of employment, including special conditions, responsibilities, and any special prerequisites. The document will cover such items as rank, salary, tenure provisions, whether the position is full-time or part-time, and the inclusive dates of service.

In most cases, the contractual period of employment is the academic year, which means that one-half of the contractual salary will be paid each semester. Written faculty contract letters are used each academic
year: one for tenured faculty, one for probationary tenure-track faculty, and one for interim faculty. Such contracts are in accordance with The Texas State University System, Board of Regents’ Rules and Regulations, Chapter V, Subsection 4.13, “Appointments.”

**Copyrights and Patents**

Sam Houston State University strictly adheres to The Texas State University System policies concerning copyrights and patents as stated in the Rules and Regulations of the Board of Regents, Chapter III, Subsection 11, “Copyright Policy” and Chapter III, Subsection 12, “Patent Policy.”

**Sam Houston Logo and Trademarks Use**

For the full policy covering the use of Sam Houston State University trademarks or logos, please see President’s Office Policy PRE-26, “Trademark Licensing Policy.”

**Open Records Policy**

Sam Houston State University conforms to the standards and requirements of the Public Information Act per Texas Government Code, Chapter 552, acknowledging the public’s right to access government records. For this policy, its procedures and a short Open Records Training Video, please see the President’s Office Policy PRE-020, “Open Records Policy.”

**Personnel Records**

A personnel file for each faculty member is maintained in the Office of the Provost. This file contains the faculty member’s application for employment, academic transcripts, photograph, letters of recommendation, employment contracts, and records of scholarly achievement, both hard copies and digital. It is the responsibility of each faculty member to report as expeditiously as possible to the Office of the Provost, through channels, changes in status, i.e., newly earned academic degrees, publications and honors, change in marital status, change in address, and so forth.

The Human Resources Department also maintains a personnel file containing specific information a faculty member is required to furnish upon reporting for duty. This file contains information concerning options for insurance and retirement, mandatory State and federal documents and acknowledgements, I-9 INS Employment Eligibility Verification and an initial payroll action form. In addition, college deans/library director and/or department chairs may maintain a personnel folder for assigned faculty members.

**University Records Retention Schedule**

Sam Houston State University maintains a Records Retention Schedule that is certified by the Texas State Library and Archives Commission (TSLAC) and complies with and adheres to the records retention schedules as stated in the Texas State Records Retention Schedule, 4th edition, published by the TSLAC, and stated in Texas Administrative Code, Title 13, Chapter 6, Section 6.10.
Website Disclaimer Statement

The Sam Houston State University web site, http://www.shsu.edu, is a public service. Users of this web site are responsible for checking the accuracy, completeness, currency and/or suitability of all information. SHSU makes no representations, guarantees, or warranties as to the accuracy, completeness, currency, or suitability of the information provided via this web site. Additional details are provided in the Information Resources Statement IT-SO1, “Web Site Disclaimer Statement.”
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INTRODUCTION
The SHSU College of Osteopathic Medicine Faculty Handbook is supplemental to and superseded by the Sam Houston State University Faculty Handbook and is subject to approval by the -----------. Additions, amendments and/or alterations made in the SHSU-COM handbook must correspond to existing policies of the University. The SHSU-COM Faculty Handbook is developed to inform the faculty of the College of Osteopathic Medicine (SHSU-COM) of specific policies, procedures, and guidelines important to employment, fulfillment of expected duties, and advancement within the college. The SHSU-COM Faculty Handbook is a document under constant revision as policies, procedures and guidelines are developed. It is the responsibility of every faculty member to be familiar and compliant with the contents contained within both the SHSU Faculty Handbook, and the SHSU-COM specific Faculty Handbook. Every SHSU-COM faculty member should carry out their responsibilities keeping both the college mission, and the tenets of Osteopathic Medicine in mind.

SHSU-COM Mission
The mission of the Sam Houston State University (SHSU) College of Osteopathic Medicine (COM) is to prepare students for the degree of Doctor of Osteopathic Medicine with an emphasis toward primary care and rural practice, to develop culturally aware, diverse and compassionate physicians, who follow osteopathic principles, that are prepared for graduate medical education, and will serve the people of Texas with professionalism and patient-centered care.

Tenets of Osteopathic Medicine (American Osteopathic Association, 2019)
1. The body is a unit; the person is a unit of body, mind, and spirit.
2. The body is capable of self-regulation, self-healing, and health maintenance.
3. Structure and function are reciprocally interrelated.
4. Rational treatment is based upon an understanding of the basic principles of body unity, self-regulation, and the interrelationship of structure and function.
SECTION 1: SHSU-COM ORGANIZATION & GOVERNANCE

As stated in the Sam Houston State University (SHSU) Faculty Handbook, final authority for Texas Higher Education rests with the Legislature. The official governing body of Sam Houston State University is the Board of Regents of the Texas State University System. The President is the chief operating officer of the University and reports to the Board of Regents. Reporting to the Office of the President are the Provost/Vice President for Academic Affairs, Vice President for Finance and Operations, Vice President for Student Affairs, Vice President for University Advancement, Vice President for Enrollment Management, Vice President for Information Technology, and the Director of Athletics. All Academic Deans report directly to the Provost and Vice President for Academic Affairs. For a full description of Academic Governance, please review the SHSU Faculty Handbook published at the SHSU Website.

COLLEGE OF OSTEOPATHIC MEDICINE (SHSU-COM) ORGANIZATION AND GOVERNANCE

Under direction of the dean of the College of Osteopathic Medicine, the college is organized into divisions with distinct departments and/or offices within each division (see SHSU-COM organizational chart Appendix 1). An associate dean provides oversight for each of the divisions.

1) Division of Biomedical Sciences
   a. Department of Clinical Anatomy
   b. Department of Molecular and Cellular Biology
   c. Department of Physiology and Pharmacology

2) Division of Clinical Affairs (Unsure how to organize this)
   a. Assistant Dean for Graduate Medical Education and DIO
   b. Department of Primary Care and Clinical Medicine
   c. Department of Osteopathic Principles and Practice
   d. Office of Clinical Skills
   e. Office of Clinical Education

3) Division of Educational Affairs
   a. Office of Medical Student Affairs
   b. Office of Assessment, Evaluation, and Accreditation
   c. Office of Faculty Development and Continuing Medical Education (CME)

Additionally, the SHSU-COM works directly with SHSU divisions and shared services including but not limited to: Academic Affairs (Academic Planning and Assessment, SHSU Online, Research and Sponsored Programs, Newton Gresham Library) Enrollment Management (Admissions, Registrar, Financial Aid, Institutional Effectiveness, Career Services), Finance and Operations (Office of Research Administration, Procurement and Business Services, Bursar’s Office, Budget, Bearkat OneCard Services), Student Affairs (Services for Students with Disabilities, Student Activities, Leadership Initiatives), and Information Technology.

THE DEAN OF THE COLLEGE OF OSTEOPATHIC MEDICINE

The dean of the college shall have the authority and responsibility for the administration of the college in accordance with the University and college bylaws. This responsibility includes finances and budgetary matters, academic facilities, and personnel matters. The dean is responsible for all programs of instruction, research, and service carried out by the college. Duties include the development, coordination and implementation of curricula and integration of instructional programs. The dean formulates objectives, policies and standards for the college to supervise operations of the instructional programs and to communicate with department chairs, program directors, faculty, and students under their jurisdiction. In faculty matters, responsibilities include making recommendations to the Provost and Vice President for Academic Affairs for employment, retention,
and advancement of personnel in accordance with University policies. The dean of the college serves as its chief academic officer, and must have earned a D.O. degree from an American Osteopathic Association (AOA) accredited college of osteopathic medicine, AOA board certification (initial and/or active) and have appropriate academic leadership experience. The dean of the college is a full time employee appointed by and reporting to the University President and Provost, and approved by the TSUS Board of Regents.

ASSOCIATE/ASSISTANT DEANS
The associate/assistant deans of the college are responsible for supporting the dean in all efforts related to the function of the college. Duties vary by division and generally include development and management of the curriculum, research/scholarly work, finances and budget, personnel matters including faculty, staff and students, coordination of activities and events including student admissions, assessment, and facilities. The associate deans of the college are full time employees reporting to and reviewed by the dean of the SHSU-COM.

Biomedical Sciences Division
For this and subsequent sections “Biomedical Science Division” (Biomedical) refers to the Departments of Clinical Anatomy, Molecular and Cellular Biology, and Physiology and Pharmacology. The mission of the Biomedical division is to be an interactive and committed community of scientific scholars dedicated to evidence-based teaching and scholarship in order to provide foundational understanding of human structure and function in both health and disease. To prepare students for careers as clinicians, scholars, and educators, the division of biomedical sciences engages a diverse and qualified faculty trained in foundational sciences including anatomy, biochemistry, cell biology, immunology, microbiology, nutrition, neuroscience, physiology, pharmacology, and pathology. Faculty are committed to excellence in developing and delivering an integrated curriculum with emphasis on clinical applications. Faculty are also devoted to research and scholarship important to the advancement of health, medicine, education, and society. Biomedical science faculty are dedicated to supporting the mission of Sam Houston State University through sustained service within the college, the University, professional organizations, and the community.

The “Clinical Affairs Division” (Clinical) includes various sections. It is responsible for the clinical curriculum, student rotations and GME development and support. It also houses the Department of Primary Care and Clinical Medicine, the Department of Osteopathic Principles and Practice, and the offices of Clinical Skills and Clinical Education. The Clinical Affairs charge is to prepare osteopathic medical students for future practice with an emphasis on rural and underserved communities. This effort is concentrated in the eastern region of Texas, with affiliated hospitals and clinics located throughout the area. The division is also responsible for assuring that osteopathic principles are reinforced throughout the curriculum. Clinical Affairs is committed to advancing the mission of the Sam Houston State University College of Osteopathic Medicine (SHSU-COM).

Educational Affairs Division
The “Educational Affairs Division” includes the offices of Medical Student Affairs, Faculty Development and Continuing Medical Education, and Assessment, Evaluation, and Accreditation. Educational Affairs mission is to promote excellence in osteopathic medical education by providing resources and support to faculty, staff, and students through individualized training and development programs, assessment and evaluation, and curricular guidance. Educational Affairs is committed to advancing the mission of the Sam Houston State University College of Osteopathic Medicine (SHSU-COM) through continuous quality improvement derived from program evaluation and educational research from Undergraduate Medical Education (UME) to Graduate Medical Education (GME).
DEPARTMENT CHAIRPERSON
The department is the basic administrative unit of education, research, service and creative endeavor within the college. All departmental chairpersons shall have the authority, responsibility and accountability for the administration of the department in accordance with the TSUS Rules and Regulations, as well as University, college, and department policies. Appointment of a chair to an administrative unit is at the discretion of the dean and subject to the approval of the Provost and Vice President for Academic Affairs and the President (See SHSU Academic policy 110511). The chairperson of each department shall be subject to regular review by the dean.

FACULTY
The faculty of the departments shall have shared responsibility with the department chairperson to adopt and publish operating policies. Such policies shall include, but not be limited to, the composition of the faculty within the department, voting privileges, guidance for promotion and tenure, faculty meetings, standing committees, department organization, responsibilities of the chairperson and other department administrators, modes of student participation in academic affairs and selection of chairperson, and ensure all such policies align with TSUS Rules and Regulations and University policy. The policies of the department shall be reviewed by the department at intervals not to exceed five years. The policies shall be resubmitted at that time to the college Policy Committee to assure consistency with the TSUS Rules and Regulations and University and college policies.

Faculty membership includes all individuals who hold a faculty appointment at SHSU-COM including the dean, associate deans, directors, and department chairs. Faculty members are organized by division:

a) Biomedical Faculty
   Educators and scientists who engage in teaching, scholarship, and service.

b) Clinical faculty
   Physicians who provide clinical service as part of their appointment in addition to teaching, scholarship and service responsibilities.

The faculty is composed of voting and non-voting members.

a) Voting Faculty
   The voting faculty is made up of all faculty members with tenure-track contracts, previously tenured, full-time non-tenure track faculty, and part-time faculty members with appointments equal to or greater than 0.5 FTE. The voting faculty is accorded the privileges of voting and serving in elected positions.

b) Non-voting Faculty
   The non-voting faculty is composed of faculty holding appointment of less than 0.5 FTE, volunteer and visiting faculty, members of the administration with faculty/teaching appointments; and Professors Emeriti.

FACULTY SENATE
The Faculty Senate exists “In order to develop fully the freedom of discussion, participation, and examination of ideas by faculty, students, and administration in the search for truth...” to quote the Preamble to the Charter of the Faculty Senate of Sam Houston State University.

To locate more information on the Faculty Senate of Sam Houston State University, including meeting minutes, current roster and constitution and bylaws, see the Faculty Senate website at http://www.shsu.edu/~org_sen/.
ACADEMIC AFFAIRS COUNCIL
The Academic Affairs Council serves in an advisory capacity to the Provost and Vice President for Academic Affairs. Membership is by virtue of position and includes all deans, associate deans, department chairs, and members of the Provost’s leadership team. The Academic Affairs Council provides a forum for the discussion of academic matters, serves as an initial academic policy development and review body as requested by the Provost and Vice President for Academic Affairs, and provides a forum for communicating more effectively on all academic concerns.

COMMITTEE STRUCTURE OF THE UNIVERSITY
University committees are included in the Committee Book. Each entry in the Committee Book includes a statement of the committee’s purpose, appointment procedures, and current chair and committee members’ names, along with term expirations. Faculty, staff and administrators are appointed by the Dean for service on these committees.

COMMITTEE STRUCTURE OF THE COLLEGE OF OSTEOPATHIC MEDICINE (SHSU-COM)
College of Osteopathic Medicine committees are included in the SHSU-COM Committee Book (see website). Each entry in the SHSU-COM Committee Book includes a statement of the committee’s responsibilities and current chair and committee members’ names. Committee appointments and terms are described in Section 2 of this handbook.
SECTION 2: SHSU-COM COMMITTEES

The College of Osteopathic Medicine of Sam Houston State University (SHSU-COM) shall impanel such committees and councils as are needed to provide counsel to the dean for the proper conduct of the academic programs and general affairs of the SHSU-COM.

COMMITTEE GUIDELINES
Committee guidelines, policies and procedures have been developed to serve as a foundation for the collaborative functions and governance of the college and to define the roles of the administration, faculty, staff, and students in policy formulation within the college and the University community.

Definition: The term committee will be used to describe any/all committees, councils and boards to which SHSU-COM faculty, staff and students are elected to serve. Committees described in the SHSU-COM Committee Book are subject to the following general guidelines:

PURPOSE
All committees serve in an advisory capacity to the dean. Unless otherwise detailed in these policies, the chair of each committee shall be appointed by the dean of the college and will provide a report of the committee’s activities to the Executive Committee.

COMPOSITION AND TERMS
Faculty and staff committee members are appointed by the dean in working in collaboration with department chairs or supervisors as well as in accordance with SHSU-COM committee policies. Student members are elected by their peers according to policies outlined in the Student Handbook. Voting faculty, full-time staff, and enrolled students in good standing have full voting rights. Non-voting faculty and staff may serve in ex officio capacity. The chair of the committee must be a voting faculty or full-time staff member, and as such may vote on all matters brought before the committee.

AD HOC COMMITTEES
The dean of the college has the authority to form ad hoc committees as needed. The dean of the college will make known to each ad hoc committee its charge at the first scheduled committee meeting. An ad hoc committee shall exist for as long as its specific charge warrants and as specified by the dean of the college.

SUBCOMMITTEES
The dean of the college and committee chairs have the authority to form subcommittees as needed to gather data, compile research, formulate guidelines, and other tasks contributing directly to work of the committee. The dean of the college or the committee chair will make known to each subcommittee member the charge and timeline at the first scheduled subcommittee meeting. Subcommittee members may include, but are not restricted to, faculty, staff, alumni, and students.

ORGANIZATIONAL YEAR
The organizational year for each committee is the normal SHSU academic year September 1 to August 31. This timeframe allows work conducted by the committee over the past year to be shared with new committee members near the start of the academic year.

COMMITTEE TERMS
Appointments and elections for committee members will occur prior to September 1 of each academic year. Each member will serve a three year term unless otherwise specified by the dean or committee chair. The dean will make appointments to the committee on a rotational basis with 1/3 of the committee membership to be...
newly appointed each year. On those committees for which biomedical and clinical membership is specified, at least one new clinical member and one new biomedical member will be selected each year.

PARTICIPATION IN COMMITTEE WORK
Every faculty member appointed to a committee is expected to attend all meetings called by the chairperson and to perform any work assignments made by the chair, unless sufficient reason can be provided for non-participation.

NON-PARTICIPATION
If the committee chair feels that a member is not participating adequately in committee work, then a written statement of reasons for non-participation may be requested. If the reasons provided are insufficient, or if no response is forwarded, then the member may be asked to resign so that a working member can be selected for the position.

RESIGNATION FROM COMMITTEE
An appointed committee member may resign from a committee if, for unforeseen circumstances, he or she can no longer participate in the work of the committee. If a requested resignation occurs, all paperwork relating to the case will be forwarded to the appropriate departmental chairperson and associate dean for inclusion in the faculty member’s file.

TEMPORARY REPLACEMENT OF COMMITTEE MEMBER
In the event that a member of a committee resigns, or is granted sick leave, academic leave, or is otherwise absent for an extended period of time, the committee chairperson may request that the dean appoint a temporary replacement.

The replacement will be selected from the same constituent group (biomedical or clinical) as the elected committee member. This appointment will remain in effect until the elected committee member returns to campus or their term expires.

VACANCY
If a faculty or staff member resigns from the SHSU-COM, a replacement member will be appointed by the dean to complete the term of the departing committee member.

MEETING SCHEDULE
Committees shall meet as often as necessary, but not less than four times per academic year, in order to accomplish the mission, goals and objectives of the college. Meetings may only be called by the committee chair or the dean of the college. Each committee shall establish a regular agenda for the conduct of its meeting.

Each committee will hold its first organizational meeting no later than the end of September of the current academic year. During the first meeting, new members will be invited, officers will be elected, records transferred, and a summary of unfinished business will be provided to all members. The results of committee elections will be conveyed to the dean as soon as they become available.

COMMITTEE OFFICERS
Committee officers will consist of a chairperson and a vice-chairperson, if written into committee guidelines.

Officers are elected from among the members of the committee for a one-year term. Committees shall have administrative secretaries that may either be a member of the committee or SHSU-COM administrative staff. An administrative secretary will be designated by the committee chairperson to record and distribute minutes and
generate the meeting agenda.

QUORUM
A quorum shall consist of a majority of members.

CONDUCT OF MEETINGS
Robert's Rules of Order, Revised, is the parliamentary authority for the conduct of the committee meeting. The committee chair serves as parliamentarian (ensures proper conduct of meeting).

MEETING VISITORS
A visitor is anyone who is not a member of the committee. Visitors may be admitted to a meeting through invitation by the committee chairperson. Alternatively, if a more general participation by other groups is desired, the chairperson may issue group invitations. Visitors may also be admitted to, or removed from, the meeting by majority vote of the voting committee members present.

REPORTING
Committees shall have administrative secretaries that may either be a member of the committee or SHSU-COM administrative staff. The administrative secretary shall attend all meetings, record, prepare, distribute and store all meeting minutes and agendas. Copies of these minutes, as approved by majority vote of the members, are maintained by the chair of the committee, and made available to members of the SHSU-COM. A copy of all minutes shall be retained by the chair for a minimum of five years and provided to the Office of the Dean for distribution to the CEC.

Committee chairs will be called to report to the CEC on a regular basis. Recommendations and action items brought to the CEC will be reported back to the committee chair, and shared with faculty at All SHSU-COM meetings.

MEETING MINUTES
Every meeting of the committee, regardless of length, will be recorded through minutes.
A copy of all non-confidential minutes will be stored in a site available for faculty view (posted on the SHSU-COM t:drive). The minutes will include:

a) The committee name
b) Date of the meeting (regular, called, etc.)
c) Members present (by name)
d) Approval of prior minutes
e) The body of the report

**AMENDMENT OF COMMITTEE POLICIES**
Committee policies shall be reviewed by the CEC at least once every three years. Amendments to committee policies and procedures may be proposed by SHSU-COM faculty or administrators. The dean shall bring the proposed amendments to the CEC for consideration. Proposed amendments require approval by two-thirds of the CEC present at a meeting in which there is a quorum. Upon approval by the CEC, the proposed amendment must be distributed to committee chairs at least two-weeks in advance of expectation for implementation.

**SHSU-COM COMMITTEES**
SHSU-COM faculty are appointed by the dean to serve on the following college committees. Standing committees are responsible for development and oversight of functions necessary for successful operation and maintenance of the college. The charge of each committee is to support the educational, research, service, and clinical care functions essential to fulfilling the mission of the SHSU-COM.

**SHSU-COM Committee Book**
Full descriptions of committee responsibilities and membership are published in the SHSU-COM Committee Book located on the college website.

- College Executive Committee (CEC)
- Faculty Assembly
- Admissions Committee
- SHSU-COM Curriculum Committee (CC)
- Student Promotions and Academic Progress Committee (SPAP)
- Faculty Evaluation System Committee (FESC)
  - Department Promotion and Tenure Advisory Committee (DPTAC)
  - Preceptor Appointment (Approval?) Committee (PAC)
- Research Advisory Committee (RAC)
- Committee on Diversity, Equity, and Inclusion
- Shared Services Committee
- Continuing Medical Education Committee (implemented once receive ACCME accreditation – anticipated 2021)
- Graduate Medical Education Committee (GMEC) (as needed – Asst. Dean for GME)

**SHSU COMMITTEES**
SHSU-COM faculty may be either elected or appointed by the dean and/or President to serve on the following University committees. Full descriptions of committee selection, function, service terms, and lines of report may be found in the University Committee Book located at the SHSU website (https://www.shsu.edu/dept/academic-affairs/committee/). SHSU-COM faculty interested in serving on University committees are advised to consult the appropriate chair and receive approval from the dean.

**SHSU Committee Book**
- Academic Calendar Advisory Committee
• Academic Scholarship Committee
• Athletics Advisory Council
• Campus Sustainability Committee
• Commencement Committee
• Curriculum Committee
• Development Leave Committee, Faculty
• Distance Education Committee
• Distinguished Lecturer Series Committee
• Distinguished Professor Review Committee
• Diversity Committee, Faculty
• Enhancing Undergraduate Research and Creative Activities (EURECA) Advisory Committee
• Evaluation Committee, Faculty
• Excellence in Scholarly and Creative Accomplishments Committee, Faculty
• Excellence in Service Committee, Faculty
• Excellence in Teaching Committee, Faculty
• Homecoming Steering Committee
• Honors College Advisory Committee
• Institutional Animal Care and Use Committee
• Parking Appeals Committee
• Professional Academic Center for Excellence (PACE) Advisory Committee
• Protection of Human Subjects, Committee For
• Ring Committee
• Space Management & Utilization Committee
• Staff Excellence Award Committee
• Student Disciplinary Hearing Committee
• Student Financial Aid Appeals Committee
• Student Life Admissions Screening Committee
• Student Services Fee Advisory Committee
• University Compliance Committee
• University Diversity Committee
• University Marketing Committee
• Wellness Program Committee
• Women’s Advisory Committee, Faculty
• Writing in the Disciplines Committee

Additionally, SHSU-COM faculty serve on the following special committees/councils/boards
• Institutional Review Board
• Institutional Biosafety Committee
• Research Advisory Council
SECTION 3 – FACULTY HIRING, CLASSIFICATION, RANK, APPOINTMENT and RESPONSIBILITY

RECRUITMENT AND HIRING OF FACULTY

Hiring Procedures and Guidelines
Effective hiring practice is essential to establishing a qualified and collegial faculty. In the hiring process, SHSU-COM faculty are required to adhere to SHSU Human Resources policies (https://www.shsu.edu/intranet/policies/finop/human_resources/) as well as SHSU-COM procedures as outlined in Appendix 2.

Key elements in sequence:
- Department Chairperson provides position justification
- Departmental search committee is established
- Position announcement/job description written
- The position announcement is distributed through appropriate channels
- Search is initiated
- Application screening process begins – criteria must established
- Interview process begins – phone and/or on site
- Selection is made and search committee presents written recommendation
- Recommendation must be approved by the dean
- Following Provost approval, the dean provides written offer including rank, salary, and terms of appointment
- Final appointment is by recommendation of the President and approved by the Board of Regents

Affirmative Action
In accordance with Sam Houston State University’s Affirmative Action Plan, SHSU-COM is committed to a vigorous recruitment and selection system to ensure the consideration of underrepresented candidates for each vacant faculty position. It is expected that the recruitment and selection system will be rigorously followed at all levels of employment (SHSU Academic Policy Statement 800114).

Appointment Letters
Upon approval of the President and Board of Regents, the new faculty member’s classification, rank and terms of employment will be conveyed to faculty as specifically stated in the appointment letter received from the university President. As stated in Texas State University System Rules and Regulations, all full-time Tenure Track appointments shall be for a term specified and not to exceed one year, renewable annually for up to five years, contingent upon satisfactory annual performance evaluations, departmental need, and continuity of funding. Non-tenure Track Faculty, Affiliate Faculty, and Professor of Practice faculty shall be for a term specified and not to exceed one year, with the possibility for renew annually based upon annual performance evaluation, departmental need, and continuity of funding.

Faculty Classification
In accordance with The Texas State University System Rules and Regulations, faculty classification within the SHSU-COM include:

Full-time Tenured
A tenured position is one in which the full-time employee holds tenure as a member of the faculty of the University in accord with established tenure policy. Fringe and other employment related benefits are applicable according to state guidelines.
**Full-time Tenure-Track**
A tenure-track position is one in which the occupant is a full-time employee and expected to progress toward a tenure decision in accord with established University policy. A terminal degree or special credentials are required for all tenure-track ranks. Only full-time service in the academic ranks of Assistant, Associate and Full Professor shall be counted toward fulfillment of required probationary periods prior to application for tenure. Fringe and other employment related benefits are applicable according to state guidelines.

**Full-time Non-Tenure Track**
Non-tenure track faculty serve at the pleasure of the President and Board, subject to provisions of proper notice as required by the Texas State University Rules and Regulations. Non-tenure track faculty should meet the same requirements for professional, experiential, and scholarly preparation as their tenured and tenure-track counterparts teaching in the same disciplines. No non-tenure track faculty should expect continued employment beyond the period of current appointment as approved by the Board of Regents. Fringe and other employment related benefits are applicable according to state guidelines.

**Affiliate Clinical Assistant, Associate, or Full Professor**
Preceptors and other professions may be designated as non-compensated affiliate faculty of the university and serve at the pleasure of the President and Board, subject to provisions of proper notice as required by the Texas State University Rules and Regulations. Preceptors provide educational oversight of third and fourth year students in clinical clerkship rotations. Requirements include a DO or MD degree, unrestricted license to practice, professional liability coverage, and board certification or eligibility in the primary specialty. Faculty complete application to the university (see Appendix 3) and rank is assigned commensurate with credentials at the time of hire (assistant/associate or full professor). Fringe and other employment related benefits are limited but may include educational resources and library access.

**Professor of Practice (Subject) - Example: Assistant Professor of Radiology**
A Professor of Practice is one in which the occupant is a part-time employee serving at the pleasure of the President and Board, subject to provisions of proper notice as required by the Texas State University Rules and Regulations. Professors of practice serve the SHSU-COM by providing instructional, professional, clinical, and scholarly expertise within their discipline. Requirements may/may not include a PhD, DO or MD degree, unrestricted license to practice, professional liability coverage, and board certification or eligibility in the primary specialty. Professors of Practice should not expect continued employment beyond the period of appointment as approved by the Board of Regents. Fringe and other employment related benefits are applicable according to state guidelines.

**Academic Rank**
The following academic ranks, commensurate with training and experience, and outlined in SHSU Academic Policy Statement 900417 will be assigned:
- Assistant Professor
- Associate Professor
- Professor Emeritus - or similar honorific title may be conferred by recommendation of the dean, and approved by the President provided that the faculty member has served the college with distinction.
Years of Service
An academic year shall be the twelve month period from September 1 through August 31. If a faculty member is initially appointed during an academic year, the period of service from the date of appointment until the beginning of the following academic year shall not be counted as academic service toward fulfillment of the maximum probationary period.

At the discretion of SHSU, and subject to dean approval, prior service of up to three years at another university may be counted toward fulfillment of the required probationary period for tenure and promotion.

The maximum probationary period at SHSU in tenure-track status in any academic rank shall not exceed five years of full-time academic service. Not later than August 31 of the last academic year of the maximum probationary period, tenure-track faculty shall be given written notice that the subsequent academic year (6th year) will be the terminal year of employment or that beginning with the subsequent academic year, tenure will be granted.

In the event that the employment of a tenure track faculty member is to be terminated prior to the end of the maximum probationary period, notice shall be given in accordance with SHSU Academic Policy Statement 900417.

For full description of this, and all policies regarding faculty appointment, tenure and promotion, faculty are advised to refer to SHSU Academic Policy Statement 900417 as published at the SHSU website.

Credentialing of Community Faculty as Affiliate Clinical Assistant, Associate, or Full Professor
Prospective preceptor completes a Clinical Faculty Request form (see appendix 4)
Credentialing Specialist reviews Texas Medical Board Website (or equivalent licensing body) to:
   a. Make sure the physician has an active medical license
   b. Check to see if there are any current or prior disciplinary actions
   c. If there are any disciplinary actions the physician must be reviewed by the assistant dean for GME & DIO and the Associate Dean for Clinical Affairs to decide if they should proceed
   d. Obtain copy of the physician’s CV
   e. Obtain copy of the physician’s medical school diploma
   f. Obtain copy of the physician’s board certification documents or explanation for not having a current board certification
   g. Obtain a copy of the physician’s medical license
   h. Obtain a copy of the physician’s current Professional Liability Insurance
   i. Have the physician complete Non Compensated Affiliate Sam ID and Clearance Request

   • Prospective preceptor is then presented to the FES Committee by the credentialing specialist
   • By vote of the FES committee members the prospective faculty member is approved or denied approval.
   • Approved candidates are forwarded to the dean and an offer letter and a faculty appointment certificate are provided to the applicant.
   • Because community preceptors are provided faculty privileges, approved affiliate faculty are then entered into the Human Resources system using the Electronic Payroll Action Form (EPAF)
- EPAF completion results in activation/creation of SHSU ID and faculty appointment

**ID Cards**

Upon hire, each faculty member will be required to complete the necessary application to receive a Bearkat OneCard, the official ID of Sam Houston State University.

To receive a Bearkat OneCard:
- Have photo taken in the Bearkat OneCard Office or [Request a Card online](#).
- Present a valid and current address on file with the University.
- Be a member of SHSU Faculty/Staff.

Once these steps have been completed, the Bearkat OneCard will be mailed to the faculty member. Upon receipt, it’s essential that faculty select the refund preference at BearkatOne.com. Selecting refund preference also activates the campus ID functionality.

Activating the Bearkat OneCard will grant access to many benefits including:
- University sponsored programs (athletic, theater, music and art, etc.)
- Recreational sports facilities
- Library services
- Raven’s Nest Golf Course
- Kat Club

**FACULTY WITH ADMINISTRATIVE RESPONSIBILITIES**

**Department Chair**

**Chairperson Assignment:**
Department chairs are appointed at the time of hire, and renewed annually upon satisfactory completion of duties. Appointment of a chair to an administrative unit is at the discretion of the dean and subject to the approval of the Provost and Vice President for Academic Affairs and the President. The position of department chair retains full membership privileges as voting faculty and in negotiation with the dean, will distribute their FTE to include appropriate assignment to administrative duties. Department chairpersons will receive an annual administrative stipend to supplement for the additional service to the college.

**Chairperson Duties:**
As described in section 1 of the handbook, the department chair is responsible for the operation of the department, including its faculty, staff, and programs.

**Reappointment of Administrative Chairs**
In accordance with university policy the appropriate divisional associate dean will be responsible for providing an annual written evaluation of the performance of each department chairperson under his/her supervision.

Each dean is responsible for developing an instrument to evaluate his/her department chairs. SHSU-COM chair evaluation includes the following:

1. Dean evaluation – this evaluation includes a holistic review including input from the faculty. (see below) (proposing at this time – need to see how other colleges do this)
2. Faculty evaluation - this instrument should be distributed to all faculty members, within the unit at a prescribed date determined by the dean of the college. (We need to develop our timeline and add it here). The completed faculty evaluation of chair forms are returned to the office of the appropriate divisional associate dean, compiled and incorporated in the dean’s annual evaluation of the chair’s performance.

Per Academic Policy Statement 110511, the tenured, tenure-track and clinical faculty of the academic unit are convened by the chair of the Department of Promotion and Tenure Advisory Committee (DPTAC). (we will need an exception to policy here – our chairs do not rotate every 3 years)

**Vacancy**

Should the position of department chair become vacant, the Dean may request permission from the Provost and Vice President for Academic Affairs and the President to appoint an interim chair while the department conducts a formal search for a chair.

**GRADUATE FACULTY STATUS**

SHSU-COM faculty serve at the graduate/professional level and thus should be appointed to the SHSU graduate faculty.

Members of the graduate faculty must possess a terminal degree in the teaching discipline or a related discipline from an institution accredited by a recognized accrediting agency, demonstrate evidence of currency in the literature of the discipline, be effective educators at the graduate level, and be consistently active in scholarly and/or artistic endeavors (*Academic Policy Statement 801014*).

Although faculty may self-nominate, nominations are typically initiated by the departmental chairperson. Nominations are based on the quality of the faculty member’s curriculum vitae demonstrating qualifications to teach at the graduate/professional level. The formal process begins with completion of the nomination form ((see graduate faculty application Appendix 5) which includes approval of the department chair and dean. The form and accompanying CV are then forwarded to the Dean of the Graduate School for consideration by the Graduate Council. Failure to receive approval for graduate faculty assignment may be appealed (*Academic Policy Statement 801014*).

**FACULTY RESPONSIBILITIES AND PRIVILEGES**

Faculty are organized within departments to provide structure facilitating communication and collaboration as well as the ability to track, review and report faculty achievement. However, due to the unique means by which course instruction includes faculty from multiple departments, courses are all housed at the college level. Faculty members have a responsibility to seek continuous improvement in carrying out their professional roles including teaching, scholarly activity, service and clinical activity. Additionally, faculty must meet expectations for professional and ethical behavior.

**Teaching**

1. The faculty is to provide instruction and training to, and evaluation of, students at the institution.
2. Faculty members are expected to meet their responsibilities in presenting instructional sessions, laboratories or clinical instruction, clinical practice, student counseling, advising and mentoring including regular office hours, engaging students in research/scholarly work, and/or service.
3. Upon the dean’s approval, faculty will may serve as course directors. (See Appendix 6 for full description of Course Director responsibilities)

4. Faculty serve on course development and delivery teams that include both clinical and biomedical faculty from various departments.

5. The undergraduate medical curriculum is best described as pre-clerkship (first two years of medical school) and clerkship (years three and four).

6. Pre-clerkship courses:
   During the first semester of the medical undergraduate curriculum, courses are longitudinal with anatomy faculty primarily providing instruction and facilitation in both Clinical Anatomy 1 and Clinical Anatomy 2. Similarly, faculty from the Department of Biochemistry, Cellular Biology and Genetics will be primary instructors for both Scientific Foundations 1 and Scientific Foundations 2. For the next three semesters of the pre-clerkship curriculum, all courses will be integrated systems based courses that include instruction from anatomy, physiology, pharmacology, pathology, clinical medicine, and other disciplines as needed.

7. Clerkship courses:
   During years three and four, students are assigned to a single region for hospital and clinic rotations for all or most of their rotations. The third year consists mainly of core rotations in those specialties most in need in Texas. Additionally, students will have the opportunity to pursue their interests by participating in medicine and surgery selectives and elective rotations during third year. Fourth year is largely elective with time provided for residency interviews.

Research/Scholarly Work

1. Research is a universally-accepted vehicle for professional development. It is the right and responsibility of every faculty member to pursue research and/or some type of scholarly activity.

2. The SHSU-COM Research Committee is established to assist faculty in coordinating, directing, and evaluating the college research activity.

3. The SHSU-COM research laboratory is established for common use and any faculty member may submit a request to the dean for utilization of research space.

4. The Research Laboratory manager is a full-time position with the SHSU-COM. The Research Lab Manager will collaborate with faculty to perform, supervise, and implement research projects and manage all aspects of ensuring the laboratory is a functional, safe, and properly equipped environment that meets all accreditation standards.

5. Intramural research grant monies are available for equipment, supplies, and student support through both the SHSU-COM, and the Office of Research and Sponsored Programs. SHSU-COM Intramural grant funds may be requested through application to the Research Committee as outlined in the grant cycle procedures (Appendix 7). Recommendations for available funds are made on the basis of project merit and past productivity of the investigator. Recommendations for funding are made to the dean who will make final determination of funding approval.

6. Application to extramural grant agencies must be approved by the department chair, the dean, and the Vice President for Research and Sponsored Programs prior to submission.

7. Support for identifying and writing for extramural funds is provided by SHSU Office of Research and Sponsored Programs.

8. Researchers may request college leave and funding to present their work at professional meetings.

9. Inactive researchers may lose space and funding if these resources are required by active research faculty.
Service

1. Service to the college, university, profession and community is a recognized vehicle for career development, and is especially encouraged to utilize expertise unique to the individual faculty member aimed to support the educational and medical missions of the institution.
2. Service will be approved at the discretion of the department chair and/or evaluating supervisor.
3. Members of the faculty are expected to actively participate as members of faculty committees and other institutional service responsibilities as elected or assigned.

Clinical Activity

1. The practice of medicine, and particularly one's medical specialty, is a universally accepted vehicle for professional development. Therefore, Clinical Faculty are expected to pursue practice opportunities at the SHSU Physicians Clinic to maintain their clinical competence and oversee student participation.
2. Clinical faculty are required to exercise rights of recusal as outlined below:

   Healthcare Providers and Student Performance Evaluation
   Faculty members who provide health, medical, or psychiatric/psychological services to a student, have a close personal or familial relationship to a student or have other conflicts of interest pertaining to a student must recuse themselves from the following:
   a) Participation in grading or clinical assessment of the student
   b) Participation in decisions related to promotion of the student
   c) Participation in committee discussions of and voting on the student

   Healthcare Providers Providing Professional Services to Other Faculty Members
   Faculty members who provide health, medical, or psychiatric/psychological services to another faculty member, have a close personal or familial relationship to another faculty member or have other conflicts of interest pertaining to another faculty member must recuse themselves from discussions of and voting on that faculty member.

Professionalism

SHSU-COM administration, faculty, staff, and students shall be subject to the Texas State University System, and SHSU-COM policies within the student and faculty handbook that govern standards of professional conduct.

**SHSU-COM Professionalism Principles**

SHSU-COM policy describes the expectation for students, residents, faculty, administration and staff to display professionalism, individually and collectively, in all their interactions with each other, with patients and patient families/significant others, with colleagues in other professions, and with members of the public.

The following principles of professionalism, while not exhaustive, are provided to guide us in our actions and interactions with others.

- Respect for Others
- Honesty and Integrity
- Compassion and Empathy
- Duty and Responsibility

Professionalism is central to the ethos of both the practice of medicine and conduct of research;
it is an expression of the SHSU-COM’s commitment to patients and society. The environment of the SHSU-COM is conductive to the ongoing development of professional behaviors in osteopathic medical students, faculty, and staff at all locations and is one in which all individuals are treated with respect. This includes exposure to aspects of patient safety, cultural competency, and interprofessional collaborative practice. SHSU-COM is committed to maintaining an environment that is optimal for learning, teaching, conducting research, and providing clinical care.

Additionally, SHSU-COM faculty are expected to adhere to professional standards appropriate to the professions of academia (American Association of University Professors (AAUP - Appendix 8) and medicine (American Osteopathic Association Code of Ethics – Appendix 9).
SECTION 4: GENERAL POLICIES AND PROCEDURES

SHSU FACULTY HANDBOOK
Published online, the SHSU Faculty Handbook includes the following policies and procedures important to all University faculty and supersedes the SHSU-COM Faculty Handbook. For convenience, the Table of Contents for the SHSU Faculty Handbook is provided below:

Faculty Academic Employment Policies
- Commitment to Affirmative Action and Equal Opportunities
- Appointments to the Faculty
- Dismissal of Faculty
- Faculty Evaluation System Tenure
- Promotions in Rank
- Non-reappointment and Denial of Tenure Grievance Procedure
- Interim Faculty Members
- Outside Employment of Faculty
- Summer Employment
- Professional Librarians
- Retirement and Emeritus Status

Benefits, Leaves, and Awards
- Excellence in Teaching, Service, and Scholarly and Creative Accomplishments David Payne Academic Community Engagement Award
- Minnie Stevens Piper Professor Award Designation of Distinguished Professors Faculty Administrative Leave
- Faculty Developmental Leave Other Leaves of Absence Faculty Study
- Faculty Travel
- Interim Faculty Members

Curriculum
- Syllabus Guidelines Textbook Adoption
- Curriculum Development and Evaluation Prerequisite Policy

Professional Responsibilities
- Academic Freedom and Responsibilities Faculty Availability
- Adherence to the Class Schedule Faculty Absences
- Instructional Workload Attendance Verification Commencement Participation
- Acceptance of Money from Students Nepotism
- Professional and Academic Center for Excellence (PACE) Research by Faculty
- Political Influence
- Use of Proctoring Services Signatures
- Use of Portable and Electronic Devices

General Policies Affecting Faculty
- Administrative Office Hours Alcoholic Beverage Policy Audit Policy
- Austin Hall Policy Building Liaison Policy Campus Key Policy
- Departmental Academic Distinction Program Drug-free Workplace
- Emergency Closings Gibbs Ranch Policy Honors Program
- KatSafe (Emergency Management) Library Use Policy
- Medical Emergency Procedures
- Members Not Employed by SHSU Serving on Theses and Dissertation Committees Peabody Library Policy
- Smoking Policy
- Space Management Policy University Publications

Academic Procedures
- Academic Advisement and Mentoring Academic Dishonesty
- Academic Grievance Procedures Academic Probation and Suspension Attendance Policy for Class
- Faculty-authored Class Materials Student Absences on Religious Holy Days Student Rosters and Records
- Student-provided Technological Devices Visitors in the Classroom

Legal Compliance
- Sexual Misconduct Policies and Procedures Academic Instructional Staffing
- Americans with Disabilities Act Confidential Data Policy
- Consortial and Academic Contractual Agreement Review Faculty Contracts
- Copyrights and Patents
- Sam Houston Logo and Trademarks Use Open Records Policy
- Personnel Records
- University Records Retention Schedule Web Site Disclaimer Statement
THE SHSU-COM FACULTY HANDBOOK

The SHSU-COM Faculty Handbook describes specific additions and or exceptions to the SHSU faculty handbook as approved by the -------- and described below.

References in the SHSU Faculty handbook are current at the time of its publication; however all SHSU-COM and SHSU University policies and rules are subject to change without prior notice. Additionally the Board of Regents will adopt changes to its Rules and Regulations and that will alter some of the policies stated herein. There is an expectation that each faculty member become acquainted with and conform to all the policies and procedures included within these documents.

Faculty Membership
As described in Section 1 of this handbook, faculty membership includes all individuals within both the Biomedical and Clinical divisions who hold a faculty appointment at SHSU-COM and may include the dean, associate deans, directors, and department chairs.

Confidential Data Policy
Patient interaction is common for SHSU-COM faculty. As such, faculty must adhere to the Health Insurance Portability and Accountability Act (HIPAA) Health Information Privacy rules and requirements to protect the privacy and security of health information. Adherence is in addition to Academic Policy statements #810806, “Student Educational Records” and Academic Policy Statement 830823, “Reproducing of Hard Copy of Student Academic Records.”

Faculty Availability
Faculty are expected to publish hours, be available to students during the published times, and other times by student appointment or request of the dean. As teaching load varies throughout the year, office hours may vary but are expected to be consistent with teaching schedule and responsive to student needs.

Adherence to Schedule
SHSU-COM administrative offices shall be open during “normal” workday hours from 8:00 am until 5:00 pm except for designated holidays. If for any reason the faculty member is not able to fulfill teaching, research or other duties as scheduled, the expectation is to notify the department chair and administrative assistant at the earliest possible convenience. The chair will attempt to assist the faculty member in covering duties so as not to disrupt the workflow of other faculty, staff and students.

Holidays
SHSU-COM faculty are contracted as 12 month employees of the university. As such, faculty are granted the following paid holidays:
  - Labor Day
  - Thanksgiving
  - The day after Thanksgiving
  - Christmas*
  - New Year’s Day
  - Martin Luther King Jr. Day
  - Energy Conservation Day
  - Memorial Day
Independence Day

*The Texas Legislature determines the holidays each biennium, and then the specific university holiday schedule is prepared and approved so as not to interfere with classes. The total number of holidays to be observed by eligible university employees is the same as is entitled by law for employees of any state agency; holidays are just not all scheduled on the same days by different agencies. Refer to the current holiday schedule for specific days.

The following alternative days may be observed in lieu of a University holiday. The total number of holidays in a year to which an employee is entitled is not changed by use of alternative holidays.

- Rosh Hashanah (2 days)
- Good Friday

Detailed information regarding the Texas Employees Group Benefits Program (GBP) is available on the Employees Retirement System of Texas (ERS) website or refer to the SHSU Human Resources Summary of Benefits webpage: [https://www.shsu.edu/dept/human-resources/benefits/summary.html](https://www.shsu.edu/dept/human-resources/benefits/summary.html)

**Curriculum Development and Evaluation (add here)**

Faculty will be engaged in the development, evaluation, and revision of the curriculum. This process progresses from faculty, through their department chairs, to the SHSU-COM Curriculum Committee (see Section 2), and then to the SHSU Curriculum Committee for necessary approvals.

**Faculty Advising and Mentoring**

Faculty will be asked to participate in advising, coaching, and mentoring for students through all four years of the degree program through academic counseling, tutoring, clinical advising, learning community participation, and specific programming. SHSU-COM Office of the Dean and Faculty Advisors/Mentors will make sure students have necessary resources and assist students with specific academic needs, determining specialty interests, completing residency applications, and preparing for interviews.

**Library**

A medical librarian is a full-time member of the SHSU-COM staff and will be available at the Conroe campus location to provide assistance and consultation for faculty. A robust collection of digital library resources is available for use and faculty are encouraged to consult with the medical librarian to ensure copyright and other access measures are followed appropriately. Additionally, limited “hard copy” library resources will be available for check-out at the SHSU-COM facility. SHSU-COM faculty have full library rights and responsibilities as outlined in Academic Policy Statement 840606 Library Use Policy for all SHSU Grisham library resources. The policy describes the normal loan period of one semester with opportunity for renewal. Loss or irreparable damage will result in charge for replacement.

**Faculty Travel and Professional Development**

1. The SHSU-COM will approve up to $5,000 for travel related to continuing medical education and/or professional development activities necessary for SHSU-COM operations. The money can be divided to provide for more than one activity up to the $5,000 limit.
2. Initial requests for travel should be discussed with your direct report and approved six or more weeks in advance.
3. If approved, the travel request will be entered by the requestor and processed through Chrome River.

   a. Chrome River is the travel and expense report software utilized by SHSU.
b. Chrome River can be accessed by going to MySam on the SHSU.edu webpage.
   i. Chrome River link is under the Employees Tab in the Travel box.
   ii. Create a new pre-approval by clicking on the +New tab on the right hand of the top of the screen.
4. Then, the requestor/traveler will enter a pre-authorization in Chrome River.
   a. Request your FOP (Fund Organization Program) number from your respective administrative assistant. This “account” number is needed when filling out the pre-approval in Chrome River and will ensure correct routing.
   b. All related supporting documents should be attached to the pre-approval on Chrome River. Types of documents that need to be attached are the meeting or conference brochure, webpage printout, emails, invitation, hotel room block rate, paper abstract, supporting documents, etc.
      i. Travel requests without back up documentation attached will be delayed and may be returned to the traveler to attach documentation.
5. The dean and associate deans will approve/disapprove travel through Chrome River.
   a. When travel is approved, funds are encumbered immediately.
6. Associate deans will be responsible for managing their division’s travel budget.
7. The travel funds will be allocated to the division. Final approval for all travel rests with the dean of the SHSU-COM.

**Faculty Professional and Societal Memberships**
The SHSU-COM will approve and pay for one national membership and one specialty college membership for faculty and staff.
1. National Membership
   a. Institutional Membership: International Association of Medical Science Educators (IAMSE).
      b. As a general guideline, IAMSE could be the selected National membership for PhD faculty, or alternatively another National membership may be allowed.
2. Specialty Membership
   a. For Clinicians, one clinical specialty college membership.
      b. For PhD faculty, one specialty membership may be selected in their area of concentration.
3. Institutional Membership to AACOM and National Rural Health Association have been paid for by the SHSU-COM. These memberships cover everyone in the SHSU-COM.
4. Board certification exams and other society dues will be the responsibility of the member.
5. Membership requests should be discussed with your direct report and approved six or more weeks in advance of when your membership dues are due.
      a. SHSU policy does not allow re-imbursement to faculty for personal payment of professional membership dues.
6. Associate deans will be responsible for managing their division’s professional membership budget.
7. The professional membership funds will be allocated to the division. Final approval for all memberships rests with the dean of the SHSU-COM and Vice President for Academic Affairs.

Process for requesting SHSU-COM coverage of professional membership:
1. Timeline
   a. Faculty request chair/associate dean approval for membership a minimum 6 weeks in advance of due date.
      b. Upon chair approval, faculty will submit required information to the appropriate administrative assistant (see payment below).
2. Payment
   a. Faculty submit membership information required for the form to the appropriate administrative assistant.
   b. Professional organization must first be vetted as an “approved vendor” through SHSU purchasing.
   c. If organization does not accept PO for payment (does not allow for approved vendor), payment may be made through use of the PCard.
   d. PCard Payment approvals require completion of SHSU Form: https://www.shsu.edu/intranet/policies/forms/documents/Membership+Form-pcard.pdf.
   e. Administrative assistants will complete the form and forward for approvals (chair >associate dean>dean>Provost office)

Campus Facilities
SHSU-COM is located in Conroe Texas at the Sam Houston State University Center for Health Professions. Building information is provided below, and will be expanded as information becomes available.

Address:

Access to Building
The building will remain unlocked and available to faculty during the normal work hours Monday through Friday. Access to the building outside these hours will require the faculty BearKat One card.

Visitors to the building (process of reporting, nametags...?)

Building Liaison
A building liaison is appointed by the dean and serves to....

Parking

Building Use
Educational use of the building supersedes use for all other purposes. Use by faculty and/or students outside of the normal work hours of 8:00 am – 5:00 pm must be approved by the dean. (Form - Appendix...)

Use of the SHSU-COM facility by groups other than SHSU-COM faculty, staff and administration must also be approved by the dean (recommend at least 4 weeks in advance). Groups including University organizations, service groups sponsored by the University, current non-SHSU-COM faculty or staff, and Sam Houston State Alumni Association members may be granted use of the building at no cost pending approval by the dean. All other groups may incur a charge to utilize the SHSU-COM building and or facilities, and this will be conveyed by the dean during the approval process. (Form - Appendix...)

Building Description
The Conroe SHSU-COM facility is a four floor, 107,000 sq. ft. facility completed and occupied in February of 2020.

Room Type | Floor | Capacity
----------|-------|-----


<table>
<thead>
<tr>
<th>Room Type</th>
<th>Quantity</th>
<th>Capacity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Large Lecture Hall</td>
<td>1</td>
<td>160 + 40 in Viewing Area</td>
</tr>
<tr>
<td>Active Learning Classroom</td>
<td>1</td>
<td>160 - 280</td>
</tr>
<tr>
<td>Combinable Multipurpose Room (Section 1)</td>
<td>2</td>
<td>45</td>
</tr>
<tr>
<td>Combinable Multipurpose Room (Section 2)</td>
<td>2</td>
<td>45</td>
</tr>
<tr>
<td>Clinical Skills Lab</td>
<td>2</td>
<td>40</td>
</tr>
<tr>
<td>SIM Debrief Room</td>
<td>2</td>
<td>10 to 12</td>
</tr>
<tr>
<td>SIM Debrief Room</td>
<td>2</td>
<td>10 to 12</td>
</tr>
<tr>
<td>SIM Debrief Room</td>
<td>2</td>
<td>10 to 12</td>
</tr>
<tr>
<td>Flex Debrief Room</td>
<td>2</td>
<td>10 to 12</td>
</tr>
<tr>
<td>Flex Debrief Room</td>
<td>2</td>
<td>10 to 12</td>
</tr>
<tr>
<td>Small Team Room</td>
<td>2</td>
<td>10 to 12</td>
</tr>
<tr>
<td>OMM Team Room (OMM Table in Room)</td>
<td>2</td>
<td>10 to 12</td>
</tr>
<tr>
<td>Small Team Room</td>
<td>3</td>
<td>10 to 12</td>
</tr>
<tr>
<td>Small Team Room</td>
<td>3</td>
<td>10 to 12</td>
</tr>
<tr>
<td>Small Team Room</td>
<td>3</td>
<td>10 to 12</td>
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<tr>
<td>Small Team Room</td>
<td>3</td>
<td>10 to 12</td>
</tr>
<tr>
<td>Small Team Room</td>
<td>4</td>
<td>10 to 12</td>
</tr>
<tr>
<td>Small Team Room</td>
<td>4</td>
<td>10 to 12</td>
</tr>
<tr>
<td>Small Team Room</td>
<td>4</td>
<td>10 to 12</td>
</tr>
<tr>
<td>OMM Team Room (OMM Table in Room)</td>
<td>4</td>
<td>10 to 12</td>
</tr>
<tr>
<td>Anatomy Lab</td>
<td>4</td>
<td>18 Tables and one instructor Station</td>
</tr>
<tr>
<td>Clinical Skills Training Room (with OMM Tables)</td>
<td>4</td>
<td>43 and one instructor table</td>
</tr>
</tbody>
</table>

**First Floor**
Additional SHSU Policies and Procedures
Faculty are expected to become familiar with and follow ALL SHSU policies and procedures as listed below.
** Full descriptions located at the SHSU Website

*Texas State University System Board of Regents’ Rules and Regulations*
https://www.tsus.edu/tsus-rules-and-regulations.html
- Chapter I - The Board of Regents
- Chapter II - System Administration
- Chapter III - System-Component Operations
- Chapter IV - Presidents of the Components
- Chapter V - Component Personnel
- Chapter VI - Student Services and Activities
- Chapter VII - General Provisions for Campus Activities
- Chapter VIII - Ethics Policy and Reporting of Wrongful or Fraudulent Conduct
- Chapter IX - Private Support Organizations
- Chapter X - Enactment and Amendment
- Appendix

*Academic Affairs Policy and Procedures Statements*
(https://www.shsu.edu/dept/academic-affairs/aps/aps-faculty.html)
- 800114, Academic Instructional Staffing
- 921007, Academic Advisory Councils
- 110511, Appointment, Workload and Evaluation of Chairs
• 041020, Appointment of Clinical Faculty Members
• 911106, Appointment of Visiting Scholars
• 860425, Designation of Distinguished Professors
• 840901, Early Retirement Program for University Faculty
• 890303, Employment of Graduate Assistants
• 890301, Employment of Non-Tenure Track Faculty
• 871214, English Language Proficiency for Instructional Personnel
• 920808, Ethical Conduct in Academic Research and Scholarship
• 860915, Faculty Absences on Religious Holy Days
• 800215, Faculty Administrative Leave Program
• 800328, Faculty Development Leave Policy
• 820317, Faculty Evaluation System
• TSUS Rules & Regulations, Chapter V, Faculty Grievance Procedure
• TSUS Rules & Regulations, Chapter V, Sec 4.4, Faculty Grievance Form
• 790601, Faculty Instructional Workload Policy
• 130424, Faculty-Led Study Abroad Program
• 791221, Faculty Participation in Commencement
• 900417, Faculty Reappointment, Tenure, and Promotion
• 800925, Faculty Retirement and Emeritus Status
• 801014, Graduate Faculty Status
• 810701, Instructional Overload Assignment
• 830401, Insurance Fringe Benefits and Sick Leave Accrual for Interim Faculty Members
• 840606, Library Use Policy for all SHSU
• 110720, Market Adjustments in Salary
• 800722, Merit Advances in Salary
• 910116, Off Campus Instruction
• 860811, Outside Employment for Faculty
• 980204, Performance Evaluation of Tenured Faculty
• 900420, Reassigned Time for Faculty Members Pursuing Research and Artistic Endeavors
• 810814, Tenets for Faculty Status for Academic Librarians
• 890228, Use of Tobacco Products in Academic Classrooms and Facilities
• 860211, University Textbook Requisition Procedure

Research Policies
(https://www.shsu.edu/dept/academic-affairs/aps/aps-research.html)
• 950809, Conflict of Interest Policy Pertaining to Sponsored Projects
• 140212, IACUC General Policy
• 140213, IACUC - Alleged Incident of Noncompliance
• 140214, IACUC - Approval of Animal Use Protocols (AUPs)
• 140215, IACUC - Euthanasia of Research Animals
• 140216, IACUC - Standard Procedures for Rodent Surgery
• 140217, IACUC - Post-Approval Monitoring of Approved Research Involving Animals
• 140410, IACUC - Disaster Plan
• 140414, ORSP - Responsible Conduct of Research
• 140422, IRB - Submission and Pre-Review
• 140423, IRB - Exempt Review Procedures
• 140424, IRB - Expedited Review Procedures
- 140425, IRB - Review of Research by the Convened IRB
- 140426, IRB - Actions and Communications
- 140427, IRB - Event Reporting -- Unanticipated Problems Involving Risks
- 140428, IRB - Suspension and Termination of IRB-Approved Research
- 140429, IRB - Course Projects Guidelines Faculty Assurance
- 140430, IRB - Authorization Agreements

Facilities Management Policies
(https://www.shsu.edu/intranet/policies/finop/facilities_management/)
- Building Liaison Policy-FO-FM-61
- Building Maintenance & Repair-FO-FM-06
- Building Modifications-FO-FM-07
- Building, Office & Room Security-FO-FM-09
- Fleet Vehicle Rental Program FO-FM-65
- Key Policy-FO-FM-24
- Space Management-FO-FM-60
- Vehicle Fleet Management-FO-FM-4

Finance and Operations Policies and Procedures
(https://www.shsu.edu/intranet/policies/finop/)
- ACH and Wire Policy - FO-67
- Annual Reports - FO-02
- Agency Funds - FO-59
- Agency Funds Form - FO-59A
- Banking Procedures- FO-03
- Budget Procedures & Guidelines - FO-05
- Business Continuity - FO-68
- Funds Acceptance and Deposit Policy - FO-10
- Cell Phone Policy - FO-50
- Change Funds - FO-12
- Check Cashing & Returned Check Procedures - FO-13
- Check Printing and Disbursements - FO-54
- Checking Account Procedures - FO-14
- Clery Campus Security Authorities - FO-64
- Direct Pay Policy - FO-63
- Disposition of Equipment Acquired by Federal Funds - FO-52
- Endowment Spending Policy - FO-66
- Expenditures - FO-15
- Fees for Professional Licenses - FO-16
- Fiscal Year - FO-18
- Food and Beverage Purchasing - FO-19
- Food Service - FO-20
- Grant Expenditures - FO-21
- Identity Theft Prevention Program - FO-57
- Legislative Appropriations Request - FO-25
- Memberships-Chamber of Commerce - FO-11
- Memberships-Professional - FO-36
- Merchandise Purchases by Employees - FO-27
• Moving Expenses - FO-29
• Non-Business Use of Telephones & Fax Machines - FO-30
• Parking - FO-31
• Payments for Professional Services - FO-32
• Resale Items Purchased - FO-51
• Sales Tax - FO-40
• Video Surveillance - FO-62

**Human Resources Policies**
([https://www.shsu.edu/intranet/policies/finop/human_resources/](https://www.shsu.edu/intranet/policies/finop/human_resources/))
• Affirmative Action Recruitment Plan (ER-4)
• Child Abuse Reporting and Training (ER-10)
• Classification of Non-Faculty Jobs (WS-1)
• Conflict of Interest (E-8)
• Contract Labor and Independent Contractors (WS-3)
• Criminal Background Checks (ER-9)
• Dispute Resolution and Formal Grievance Procedure (ER-1)
• Drug and Alcohol Testing for Positions Requiring Commercial Driver’s License (CDL) (E-9)
• Drug Free Work Place (ER-8)
• Employee Development (B-5)
• Employee Leaves (B-1)
• Employee Relations and Discipline of Staff Employees (ER-2)
• Employee Resource Groups (E-10)
• Employee Wellness Program (ER-11)
• Employment of Disabled Workers and Veterans (ER-5)
• Discrimination and Equal Employment Opportunity (EEO) (ER-7)
• Holidays and Energy Conservation Day (B-4)
• Longevity and Hazardous Duty Pay (B-3)
• Multiple State Employment (E-4)
• Nepotism (E-2)
• New Employee Benefits Orientation (E-5)
• Outside Employment (E-6)
• Risk Management (RM-1)
• Separation of Employment (E-3)
• Sexual Misconduct Policy and Procedures
• Staff Evaluation System (ER-6)
• Staffing (E-1)
• Staff Salary Administration (WS-2)
• Student Employment Posting (E-7)
• Workers’ Compensation Insurance and Return To Work Program (B-2)
• Workplace Violence (RM-2)
• Work Schedules and Employee Compensation (ER-3)

**Information Technology Policies**

• **User Practices & Policies**
  o Acceptable Use Policy (IT-03)
  o Electronic Communication Policy (IT-20)
o Non-Disclosure Agreement Policy (IT-16)
o Policy Compliance (IT-00)
o Portable Computing Policy (IT-26)
o Privacy Policy (IT-27)
o Technology Acquisition Oversight Statement (IT-S03)
o Technology Security Training Policy (IT-13)
o Third Party Access Policy (IT-28)
o User Account Eligibility (IT-S04)
o User Accounts Password Policy (IT-02)
o Virtual Private Network Access Policy (IT-04)

• Systems & Networking Policies
  o Identification/Authentication Policy (IT-22)
o Information Technology Change Management Policy (IT-09)
o IT Physical Access & Environmental Policy (IT-25)
o Malicious Code Policy (IT-24)
o Network Use and Vulnerability Assessment Policy (IT-12)
o Server Administration Policy (IT-14)
o System Development & Acquisition Policy (IT-08)
o User Accounts Management Policy (IT-01)

• Data Protection Policies
  o Data Access Review Policy (IT-05)
o Data Backup Policy (IT-11)
o Data Classification Policy (IT-06)
o Digital Encryption Policy (IT-10)
o Media Sanitization Policy (IT-15)
o Web Privacy and Site Link Statement (IT-S02)
o Web Site Disclaimer Statement (IT-S01)

• Security/Standards
  o Application Security Policy (IT-29)
o Authorized Software Policy (IT-19)
o Firewall Policy (IT-21)
o Intrusion Detection/Prevention and Security Monitoring Policy (IT-23)
o IT Administrator/Special Access (IT-18)
o Risk Assessment Policy (IT-17)
o Technology Incident Management Policy (IT-07)
o InCommon Federation: Participant Operational Practices
o SHSU Information Security Program
o SHSU Information Security User Guide

Payroll Policies & Procedures
• Employee Miscellaneous Deduction from Payroll
• Essential Personnel Reporting Policy
• Payroll Action Forms
• Payroll Direct Deposit
• Retroactive Payroll
• Social Security Number Policy
• Student FICA
• Timesheets and Leave Reports
• Special/Manual Check Policy

Procurement & Business Services Policies
• General policies pur-01
• Ethics pur-02
• Procurement authority pur-03
• Purchasing-noncomplying requisitions pur-04
• The purchase process pur-05
• Term contracts pur-06
• P-card policy pur-08
• Purchases/other pur-09
• Advertisement pur-10
• Request for proposal pur-11
• Property department scrap metal sales pur-12
• How to purchase live animals for agriculture pur-13
• How to sell live animals pur-14
• How to lease out animals pur-15
• Transfer and disposal of property pur-16
• Purchases with higher education assistance funds (heaf) pur-17
• Management of compressed gases and cylinders pur-18
• Achievement of awards pur-19
• Vendor ethics pur-20
• Contract policy pur-21
• Property pur-23
• Mail services pur-24

Travel Policies
(https://www.shsu.edu/intranet/policies/finop/travel/)
• FO-TR-01, General Travel
• FO-TR-02, Lodging
• FO-TR-03, Overnight Travel Meal Reimbursement
• FO-TR-04, Mileage
• FO-TR-05, Non-Overnight Travel Meal Expenses
• FO-TR-06, Spousal Travel
• FO-TR-07, Student Travel with Faculty/Staff
• FO-TR-09, Travel Advance Policy
• FO-TR-10, Travel Card Policy
• FO-TR-11, Foreign Travel
• FO-TR-12, Travel Authorization
• FO-TR-13, Expense Certification Policy

University Advancement Policies
• Donated Livestock - Accepting Donated Livestock
• Gifts and Donations (Non-Cash) to the University Policy
• Media Relations
• Social Media Policy
• Social Media Concerns Policy
• Planting Trees on Campus in Honor or Memory of Individuals Policy
• University Publications & Marketing Communications
• Policy Governing Private Support Organizations
• Guidelines and Standards for Decentralized Advisory & Alumni Boards
• Guidelines for Referring to Named Facilities
• Policy and Procedures for Naming Initiatives
• User Access to Raiser’s Edge
• Print Policy
SECTION 5 – PERFORMANCE EVALUATION (ANNUAL REVIEW), PROMOTION, AND TENURE

Materials included in this section of the SHSU-COM faculty handbook make reference to, and are superseded by the following documents:

- Texas State University System (TSUS) General Faculty Policies;
- Academic Policy #900417 Faculty Reappointment, Tenure, and Promotion; and
- Academic Policy #820317 The Faculty Evaluation System

PERFORMANCE EVALUATION (ANNUAL REVIEW)

Overview
All University-employed faculty members, whether tenure-track, non-tenure track, or tenured are required to complete an annual written review. (Academic Policy Statement 820317)

The Faculty Evaluation System (FES) at SHSU provides a framework for conducting the annual review and is designed to maximize objectivity and minimize bias. The FES includes chair’s evaluation of faculty teaching effectiveness, students’ evaluation of classroom teaching effectiveness, scholarly and/or creative accomplishment, and record of service. The FES also includes review of faculty collegiality and professionalism.

The FES has been modified for use at SHSU-COM as student evaluation of teaching includes evaluation of the faculty, and the course separately as courses are typically team taught. Additionally, SHSU-COM workload is not by course assignment, but rather by FTE assignment determined by the dean. Annual evaluations are based on explicit goals set in alignment with FTE allocation and agreed to in the annual review (faculty member’s permanent file).

SHSU-COM faculty achievement will be organized as an academic portfolio and submitted for review following the timeline below. Elements of the portfolio are defined, and will be collected digitally using SHSU-COM acquired software (See Appendix 11 Elements of the Portfolio). Upon completion, the FES and the chair’s summary report become part of the faculty permanent file (Appendix 12). Included in the evaluation is a recommendation for retention or non-retention, and when appropriate, a plan for remediation.

Timeline
Annual review coincides with the CALENDAR YEAR – January 1 through Dec. 31

<table>
<thead>
<tr>
<th>Party</th>
<th>Action</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Associate Dean</td>
<td>Notification of deadline, updates on process</td>
<td>First working day of January</td>
</tr>
<tr>
<td>Faculty</td>
<td>Submit documentation to Chair</td>
<td>First working day of February</td>
</tr>
<tr>
<td>Dept Chairperson</td>
<td>Complete faculty conferences – forward recommendation to FESC</td>
<td>March 15</td>
</tr>
<tr>
<td>FES Committee</td>
<td>Review all faculty portfolio’s – recommendations for merit</td>
<td>April 15</td>
</tr>
<tr>
<td>Dean</td>
<td>Forward faculty summary report to Provost</td>
<td>May 1</td>
</tr>
</tbody>
</table>

Criteria
Faculty achievement and activities fall into the following areas: teaching, research and scholarly activity, and service (we will need to seek policy change here for clinical activity). Criteria and examples across rank are outlined in SHSU Academic Policy 900417. For tenure-track faculty, the annual review informs each faculty member of his/her progress toward promotion and tenure, and any areas of deficiency that may necessitate remediation.
PROMOTION

Overview
Promotion is granted as recognition of sustained, high-quality performance, combined with efforts of continuous improvement. Per SHSU University policy, nomination for consideration for promotion shall be addressed to the Department Promotion and Tenure Advisory Committee in any of three ways: 1) by the faculty member herself/himself, 2) by another faculty member, or 3) by the department chair. A faculty member normally establishes eligibility for consideration for promotion upon the completion of five and one half years of service in current rank. Early application for promotion may be considered on the rare occasion that faculty meet criteria for higher rank.

Timeline
Tenure track: At SHSU, promotion and tenure are typically linked and occur at the same time (see timeline for TENURE below)

Non-tenure track: For SHSU-COM non-tenure track faculty, the timeline for promotion is the same as tenure-track faculty.

Criteria
Tenure track: For tenure-track faculty, criteria for promotion are described in SHSU Academic Policy 900417.

Non-tenure track: For appointment and promotion in the non-tenure track (academic professional track), faculty members with Clinical, Instructional, or Research titles should be evaluated in two of the three areas of faculty performance, with a primary emphasis on the quality and impact of their teaching activities for the first two tracks and emphasis in research for the last track. Faculty with Clinical in their title will be expected to make significant contributions in the area of teaching and are required only to make significant contributions to either the area of service to the department, College, and/or University or the area of research/scholarly activity.

Non-Tenure track Assistant Professors are expected, at a minimum, to demonstrate effectiveness in teaching and to establish a productive pattern of research or service contributions to the department, College, and/or University.

The granting of promotion to Associate Professor for all non-tenure track professors will be based on an assessment of two of the three areas of faculty performance, with a primary emphasis on the quality and impact of teaching activities. This would include a pattern over time of Excellence and impact in teaching as well as a pattern over time of Effectiveness in either the area of service to the University and/or national professional organizations or the area of research/scholarly activities.

The granting of promotion to Professor for all non-tenured track professors will be based on an assessment of two of the three areas of faculty performance, with a primary emphasis on the high quality and impact of teaching activities. This would include a pattern over time of Excellence and impact in teaching as well as a pattern over time of Excellence in either the area of service to the University and/or national professional organizations or the area of research/scholarly activities.

TENURE

Overview
Tenure is granted to faculty after a rigorous probationary period, on the basis of meritorious performance.
Tenure represents a commitment between the faculty member and the institution, and the prospect of sustained professional relationship.

SHSU policy states that the Departmental Promotion and Tenure Advisory Committee (DPTAC) must be more than 3 members, and all must be at higher rank than the candidate considered. On occasions where faculty within the tenure unit cannot meet the criteria for establishing the DPTAC, the dean will call upon the Provost to assist in assembling the DPTAC committee on an “as needed basis.”

During the third academic year of faculty employment, the DPTAC committee will be called upon to provide a critical review of faculty achievement and a written report will be provided to the faculty, chair and dean of the college.

**Timeline**

- Probationary period based on the ACADEMIC YEARS of service, September 1 through August 31
- Partial year appointments do not count on P & T timeline
- Per TSUS policy, faculty who experience extenuating circumstances may be approved for a pause of the tenure clock for no longer than 2 academic years.
- Critical review in academic year three, submission of tenure materials in January of academic year five.
- Award of tenure notification by Aug 31 prior to academic year six, or notice that year six is terminal year

**Criteria**

Specific criteria for tenure are developed within the tenure unit (SHSU-COM) and are based on demonstration of excellence as described in Academic Policy Statement 900417. At the time of evaluation, the overall effectiveness and productivity of the individual shall be considered along with professionalism and collegiality. Evaluation of teaching is critical to the process and includes evaluation by students, peers, chair, along with self-reflection and commitment to quality improvement and innovation. For evaluation of scholarly work, quality will considered more important than mere quantity. The candidate should demonstrate a plan for scholarly work that includes outcomes and impact along with sustainability including funding. Service is valued as integral to enhancing the quality of education within the college, university, community and profession. The candidate should demonstrate active service engagement and sustained service effort throughout the review period.
Appendix 1. SHSU-COM Organizational Chart
Appendix 2. Hiring Summary.

Prior to Search (As outlined in Academic Policy 800114)

I. Justify Position
The position may be the replacement of vacated positions. If the position is new, the search process begins with a strategic needs analysis or a work force analysis and budgetary support to fill a position. Recommendations are made to the dean who then recommends as part of the strategic plan to the Provost. The specific steps are outlined in SHSU Academic Policy Statement 800114 (SHSU AP 800114).

II. Form Search Committee
The department chair appoints a search committee and designates a search committee chair. In appointing a faculty search committee chair and members, the department chair should consider diversity issues. For example, where possible, diverse educational backgrounds should be represented on the committee. Search committee members should be ready to commit to the process. They should attend all meetings, evaluate all candidates, and participate in the selection of finalists and in decisions about the interview process. The search committee should include a voting faculty member from outside the hiring department. It is recommended that the committee be comprised of an odd number of voting members. A nonvoting student representative may be included.

The search committee members should be informed of appointments in writing and are given: • The title of the position to be filled. • The names of other committee members. • The name of the search committee chair. • A list of institutional policies and procedures.

The search committee meetings may include activities such as: • Creating calendar listing of anticipated meetings. • Reviewing the SHSU Faculty Handbook section on posting position, SHSU AP 800114. • Reviewing the departmental mission statement. • Reviewing the sources of degrees and range of experiences of current program faculty. • Reviewing the open meeting and open records laws. • Reviewing the availability of qualified candidates. • Requesting department chair input before candidates are selected for interviews. • Developing an agenda of interview events, such as the candidates’ meetings with students, other faculty members, touring the campus, or teaching a class section.

III. Develop Position Announcement
The department chair should share with the search committee all available resources, including any data listed on the initial strategic request for personnel. The search committee should develop position announcements with objective criteria that directly relate to job duties to be performed. It is important that all employment criteria be clearly defined in the position announcement. These should be carefully examined to prevent subjective or exclusionary criteria.

Required criteria for position announcement include: • Degree(s). • Relevant experience in the field of the position. • Physical requirements for essential duties, such as those necessary to perform field based and/or off-campus instruction. • Rank of position, including assistant, associate, and/or ABD. • Teaching and/or licensure credentials. • Research/scholarship expectations. • Service activities. • Demonstrated excellence in teaching/writing/presentations. • Willingness to assist with student advising/mentoring. • Willingness to work with diverse populations.

It is important that the criteria be objective and directly related to the job to be performed and to essential duties related to the position. Criteria should be reviewed carefully in light of the Americans and Disabilities Act and Section 504 of the Rehabilitation Act.
According to policy a statement on position announcements encouraging diverse and underrepresented groups to apply or be nominated sets a positive tone in encouraging a diverse applicant pool.

An application acceptance closing date, or a statement that screening will continue until the position is filled, should be included. The position announcement may contain other information such as a starting date, salary (may say “commensurate with qualifications and experience”), and description of the employing institution, duties, and responsibilities. Position announcements will state requests for applicants to upload unofficial transcripts, curriculum vita, statement of teaching philosophy, statement of research and goals and three letters of recommendation, on their PeopleAdmin application. The department chair or designee, works with Human Resources (HR) to post the position in PeopleAdmin. The department chair or designee indicates on the PeopleAdmin job posting the chair of the search committee and the members. An evaluation form is to be filled as candidates are reviewed and submitted to HR at the conclusion of the search. The search committee will use this system to: • View applicants to your postings • View vita, transcripts and letters of recommendation • Notify HR of decisions regarding the status of selected applicants.

IV. Disseminate Position Announcement
The personnel representative will work with Human Resources in order to ensure that the faculty job vacancy is posted and publicized in accordance with University policy. All postings must be approved by, Department Chair and/or Associate Dean, Dean, Academic Affairs and Human Resources. Human Resources will then email the search committee and Department Chair the position has been posted with the link to the posting. The email will include the requisition number, hiring checklist, and AAP goals.

If advertising a position on an external website or publication, send a copy of the ad to Human Resources prior to submitting the information to the Procurement and Business Services Department or the publication. The HR staffing Specialist will review and edit the ad as necessary to accommodate HR policy and legal requirements. All advertisements must include the EEO/AAP statement.

All full-time and part-time faculty vacancies will be posted for at least 10 working days prior to filling a faculty vacancy.

All of the University faculty positions are posted on the Sam Houston State University homepage, accessible at www.shsu.edu, through the Human Resources Department. A more detailed job description may be posted on the departmental home page. Faculty positions can be posted at www.higheredjobs.com by indicating this on the PeopleAdmin job posting.

The position announcement may also be sent to: • Job employment centers at state and national level conferences. • Other subject relevant national publications. • Discipline related professional association publications. • Publications targeted to reach underrepresented groups. • An appropriate vita bank/registry. • Presidents, provosts, and/or deans of targeted universities and/or associations. • Newspapers in the local area. • Online job banks. • Student organizations. • Websites.

The University shall, in all solicitations for advertisements for employees placed by them or on their behalf, state that all qualified applicants will receive consideration for employment without regard to race, religion, color, sex, disability, or national origin.

During the Search (The chair of the search committee and the search members):
I. Review online applications on PeopleAdmin. 
All application requests should be referred to the chair of the search committee, who then directs the 
individual to the Human Resources web page. An individual is considered to be an “official applicant” 
only when the applicant has completed the official online application. (SHSU AP 800114). Applications 
cannot be received via e-mail. 

II. Application Screening Process 
All search committee members should be involved in screening the applicants using predetermined 
criteria. 

Criteria for selection from among the applicants include competitive quality of academic transcripts; 
recommendation from prior employees; the caliber of previous academic and nonacademic work 
experience; established record of or potential for research publications or creative activity; and the 
alignment of the expertise possessed by the applicant with that required of the position. 

A screening matrix should be used to assist the search committee in determining the format for 
applicant evaluation. This matrix may be shared with the chair and the deans as part of the decision 
making process. 

Each application file should be examined to ensure that the applicant meets minimum criteria. Human 
Resources is notified as soon as it is determined that a sufficient number of applicants have been 
received. The position is place in a “closed” status and advertising discontinues. Additional applicants 
are not considered unless the job is reopened with administrative approval. 

It is the responsibility of the administrator of the hiring unit to recommend through channels the priority 
list of the candidates deemed to be best qualified. It is expected that every possible consideration be 
given to attracting and selecting qualified candidates from traditionally underrepresented groups (SHSU 
AP 800114). 

III. The Interview Process 
The members of the search committee should be available throughout the interview process. If a 
member is not able to attend most of the sessions, a new member should be chosen. Consider 
conference calls, video conferencing, and off-campus interviewing at professional meetings/conferences 
to initially screen applicants. Phone interviews may be recorded, if permission is granted by the 
applicant. There should be a structured format of questions that are used with all applicants. Questions 
and answers are to be recorded and maintained (SHSU AP 800114). Overt comments which are 
culturally, racially, ethnically, or gender “charged” are inappropriate. 

In order to ensure a nonsexist and nonracist interview remember to: • Ask the same general questions 
and require the same standards of all applicants. • Treat all applicants with fairness, equality, and 
consistency. • Follow a structured interview plan that will help achieve fairness in interviewing. 

Some of the questions that may be asked include: • Why do you want to teach here? • What can you 
bring to the department that is uniquely yours? • How do you keep current in your field? • In the last 
year, what have you done to develop professionally? • How do you manage conflict? 

A search committee cannot inquire about: • An applicant’s age unless it is relevant to the job • Financial 
condition • Prior wage garnishments • Credit rating and bank accounts • Home ownership • Disabilities 
• Marital status • Where his/her spouse works or resides • Pregnancy or medical history concerning 
pregnancy • Ages of children • Military experience or discharge • Religious observance • Lineage,
ancestry, national origin, descent, place of birth, original language, or the national origin of an applicant’s parents or spouse. • How the applicant learned to read, write, or speak a foreign language. • Membership in clubs, such as country clubs, social clubs, religious clubs, or fraternal orders that would indicate an applicant’s race, color, sex, religion, etc. • Names and addresses of relatives other than those working for SHSU • How long the applicant intends to work.

The search committee chair informs the final candidates that the listed references will be contacted. After speaking to each reference, the chair shares the references’ comments with the other search committee members. You may consider calling off the reference list. You may also consider having the final candidates request their official transcripts, either a hard copy or electronic version, be submitted to the department chair.

The search committee chair in collaboration with the department chairperson forwards the list of final candidates to the dean for review. Upon approval of the dean, the chair may proceed with invitations for on-campus interviews.

Invitations for on-campus interviews should be issued to the final candidates. Prior to issuing that invitation, the search committee chair should gather dates and times of availability from the department chair, dean and search committee members. As a courtesy, the search committee chair should inform all other applicants that finalists have been chosen.

When the invitation has been accepted, the search committee chair should send the candidate(s), committee members, department and college members (where appropriate) an interview visit agenda. This agenda should include information about: • Arrival and departure dates and times; • Transportation from the airport, if the candidate is flying in; • Hotel arrangements (Note: Candidates will only be reimbursed at the state rate); • Daily schedule of meetings and events; • Description of the presentation to be offered during interview, if applicable; and • Expectations and/or guidelines for presentations (including an appropriate number of handouts to prepare if appropriate).

An agenda should also be shared or made available to members of the department and/or other members of the college as appropriate. When other department members attend presentations or teaching sessions, their evaluation of the candidates should be solicited and presented to the search committee.

The search committee and the department chair should have a clear understanding of the practicalities involved in an on-campus interview: lodging, transportation (airport, etc.), meals, and reimbursement of expenses. Candidates follow the same travel reimbursement policies as SHSU employees/faculty.

Key factors in setting up and conducting an effective and efficient on-campus interview include: • the development of a standardized list of objective and job-related questions to be asked of all candidates for consistency and comparable assessment. • A careful determination of individuals or groups invited to participate in the interview process. • A plan for feedback from various constituencies to the committee assessing candidates. • Logistical considerations to move candidates through the process in a professional manner. • The length and the elaborateness of the interview process.

During the campus interview, the candidates may meet with the deans, departmental chair and faculty, make a professional presentation and/or teach a lesson, and be evaluated with respect to the posted job requirements.

After the Search. The Selection:
Once a selection has been made, the chair of the search committee presents a written recommendation to the department chair for the employment of the preferred candidate along with the proposed rank, and recommendation for years transferred for tenure purposes. The chair presents the recommendation to the appropriate associate dean.

If there is dissent for assignment of rank or years toward tenure, the associate dean may choose to forward a recommendation to the FES Committee for further review. If additional review is requested by the FES Committee, the committee will by majority vote either approve or deny the recommendation and communicate results to the associate dean.

After rank and years toward tenure have been determined, the associate dean contacts the candidate and negotiates a salary that is within the salary range of the vacant position with the understanding that the offer is contingent upon a satisfactory background check. Prior approval from the dean is necessary if the requested salary exceeds the salary range. As part of the negotiation, the associate dean can specify an amount to reimburse the candidate for moving expenses out of department funds, and the number of years granted towards tenure.

Written offer letter should immediately follow the negotiation and be copied to the dean, divisional associate dean, department chairperson and appropriate administrative personnel. The candidate is instructed to reply to all in their response of either accepting or declining the offer.

The dean will send out the initial offer which is subject to the approval of the President of Sam Houston State University and the Board of Regents of the Texas State University System. The candidate will need to respond in writing to the job offer.

If the candidate accepts the offer, Human Resources is contacted to conduct background check and determine employability. Once Human Resources responds that the candidate is employable, the associate dean will work with the department chair to begin the hiring and onboarding process.

The official hiring process begins when the potential faculty member responds to the dean’s offer. An electronic payroll action form (EPAF) and the required documents on the Human Resources checklist are submitted to the dean’s office: http://www.shsu.edu/dotAsset/2f0dbd2e-5538-4bf9-8f02-012ef207f5d6.pdf.

Once the EPAF and the documentation have been approved by the Provost and Vice President for Academic Affairs, a position offer letter and contract (based on a 12-month appointment) will be issued to the successful candidate by the President with appropriate notification to the administrators involved.

Appointments to the faculty must be approved by the Board of Regents of The Texas State University System. The Human Resources Department maintains the official application for three years. The search committee chair needs to maintain the committee documentation, copies of letters sent, etc., for three years. Please note: all committee documentation is subject to the Texas Open Records Act. Contact Human Resources Department if you receive an open records request.

Each office within the recruiting/hiring function is expected to be prepared to offer cogent reasons with appropriate documentation for the endorsement or non-endorsement of preferred candidates.

Upon request, all applications for a faculty position may be examined by the appropriate academic dean, the Provost and Vice President for Academic Affairs, or the President.

It is the prerogative of the academic deans, the Provost and Vice President for Academic Affairs, or the President.
to request a reconsideration of the recommendation for employment if it is judged that a well-qualified minority candidate may have been omitted (SHSU AP 800114).

*WHEN HIRING AN INTERNATIONAL CANDIDATE, THERE ARE ADDITIONAL CONSIDERATIONS AND DOCUMENTATION REQUIRED – please see ......
Appendix 3. Faculty Application – Affiliate Clinical Assistant, Associate, or Full Professor
Appendix 4. Clinical Faculty Request Form (Prospective Preceptors)
Appendix 5. Graduate Faculty Application

The Graduate School
Sam Houston State University
A Member of The Texas State University System

Graduate Faculty Status Form
Recommendation for Appointment to, Reappointment to, or Removal from the Graduate Faculty at SHSU
Attachment to Academic Policy Statement 801014, Last Reviewed December 2018

Please provide the following information about the individual being recommended for appointment, reappointment, or removal. A current curriculum vita, in reverse chronological order, must be submitted with this form. (Please use short vita for SACS.) See section 2.00 of Academic Policy Statement 801014 for institutional criteria for membership on the Graduate Faculty.

Name: ____________________________________________

Academic Rank: _______________________________________

Department: __________________________________________

Appointment/Reappointment (See section 4.00 of Academic Policy Statement 801014 for review periods)
☐ New Appointment
☐ Status Renewal

Recommended membership (See section 1.01 of Academic Policy Statement 801014 for valid memberships)
☐ Graduate Faculty
☐ Associate Graduate Faculty
☐ Remove from Graduate Faculty

All nominations must have a recommendation from the Department Chair and approval from the Academic Dean. Upon approval and signature of the Academic Dean, this form should be forwarded to The Graduate School for notification to the Dean of The Graduate School.

Faculty Signature*: ____________________________ Date: ____________________________
* Required only if faculty member is making a self-nomination.

Department Chair Recommendation:
☐ Approve Signature: ____________________________ Date: ____________________________
☐ Deny Date: ____________________________

Academic Dean Recommendation:
☐ Approve Signature: Charles E. Henley Date: 1-9-2020
☐ Deny Date: ____________________________

Dean of The Graduate School:
☐ Notified Signature: ____________________________ Date: ____________________________
Appendix 6. Course Director Responsibilities

PLANNING
- Lead an interdisciplinary team in the development of all aspects of the course
- Facilitate discussion and regular group interaction for the course development team
- Set timelines and ensure deadlines are met for course deliverables (syllabus, session objectives, exam questions, session teaching materials, etc.)
- Work with Office of Faculty Development (OFD) and SHSU Online to gain skills in Blackboard Course management and prepare Blackboard with appropriate format for the course (Weekly Modules, Session Folders, etc.)
- Ensure that all session plans are completed and submitted to the Office of Faculty Development (OFD) no later than one month prior to the course

SCHEDULING
- Work with Dean’s office to communicate progress and course needs including scheduling of adjunct and clinical faculty
- Finalize the course schedule, ensure approval from the course team, coordinate with other course directors of courses in the term (Fall, Spring) to prevent conflicts in scheduling
- Work with the educational program coordinator in the Office of Faculty Development (OFD) and the registrar to schedule appropriate facilities (small group rooms, lecture halls, etc.)
- Submit the course schedule to the Office of Faculty Development (OFD) for inclusion in the SHSU-COM master calendar

ADMINISTRATION
- Receive, review and post (in Blackboard) all course materials well in advance of session delivery (at least one week)
- Oversee and approve all changes to course during delivery, post changes in Blackboard and ensure that students are notified in a timely manner. Calendar changes and/or emergency location changes should also be sent to the Office of Faculty Development (OFD) so that the SHSU-COM master calendar can be updated
- Receive, certify, and forward to the Office of Medical Student Affairs (MSA) all time away requests, tardiness reports, unexcused absences, and professionalism issues following the EAR process outlined in the Student Handbook
- Ensure that faculty are aware of and adhere to attendance, time away, tardiness and professionalism policies
- Encourage faculty to maintain awareness of student health and report any noted issues to the Office of Medical Student Affairs (MSA)
- As much as possible, attend all sessions pertaining to the course

EXAMS & GRADES
- Receive, review and work with the educational program coordinator in the Office of Faculty Development (OFD) and the exam coordinator in the Office of Assessment, Evaluation, and Accreditation (AEA) to post and schedule all exams (ExamSoft)
- Ensure that exam questions are submitted and entered into ExamSoft at least one week prior to the exam
- Proctor exams, or ensure that course faculty are scheduled to proctor exams
- Schedule and supervise post exam review and discussion with students
- Work with the Director of Assessment, Evaluation, and Accreditation (AEA) to post and release exam scores and notify students via e-mail if they have failed a course
• Meet with students who fail an exam and refer them to the Office of Medical Student Affairs (MSA) for assistance with study strategies, time management, and other strategies to improve performance.

• Submit and certify end of course grades. Report failures to the Dean’s office as soon as course grades are determined.

• Work with the educational program coordinator in the Office of Faculty Development (OFD) to schedule and oversee remediation for students who fail the course.

• Coordinate with the Office of Assessment, Evaluation, and Accreditation (AEA) to ensure timely delivery of student evaluations of course and faculty (faculty who cover more than 3 sessions in the course).

EVALUATION

• Work with the Office of Assessment, Evaluation, and Accreditation for all course surveys/evaluations.

• Coordinate and schedule peer review for junior faculty members who request/need for annual review and faculty who teach fewer than three (3) sessions and report that information to the Office of Assessment, Evaluation, and Accreditation (AEA).

• Regularly solicit input from faculty teaching in the course as to improvements that can be made either immediately or in the future.

• Participate in focus groups/debriefings and write the post course report/summary (form for submission).

• Report course outcomes to the SHSU-COM Curriculum Committee.

OTHER DUTIES

• Respond in a timely and professional manner to situations that arise.

• Proactively support faculty teaching in the course.

• Assist junior faculty in preparing to serve as a course director.
Appendix 7. Grant Cycle Procedures
Appendix 8. American Association of University Professors (AAUP)
Standards of the American Association of University Professors (AAUP), Policy Documents and Reports, 11th ed.

1. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.

2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student’s true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

3. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates, even when it leads to findings and conclusions that differ from their own. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.

4. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.
The AOA has formulated this Code to guide its member physicians in their professional lives. The standards presented are designed to address the osteopathic and allopathic physician’s ethical and professional responsibilities to patients, to society, to the AOA, to others involved in health care and to self. Further, the AOA has adopted the position that physicians should play a major role in the development and instruction of medical ethics.

Section 1. The physician shall keep in confidence whatever she/he may learn about a patient in the discharge of professional duties. Information shall be divulged by the physician when required by law or when authorized by the patient.

Section 2. The physician shall give a candid account of the patient’s condition to the patient or to those responsible for the patient’s care.

Section 3. A physician-patient relationship must be founded on mutual trust, cooperation, and respect. The patient, therefore, must have complete freedom to choose her/his physician. The physician must have complete freedom to choose patients whom she/he will serve. However, the physician should not refuse to accept patients for reasons of discrimination, including, but not limited to, the patient’s race, creed, color, sex, national origin, sexual orientation, gender identity, or disability. In emergencies, a physician should make her/his services available. View further interpretation.

Section 4. A physician is never justified in abandoning a patient. The physician shall give due notice to a patient or to those responsible for the patient’s care when she/he withdraws from the case so that another physician may be engaged.

Section 5. A physician should make a reasonable effort to partner with patients to promote their health and shall practice in accordance with the body of systematized and scientific knowledge related to the healing arts. A physician shall maintain competence in such systematized and scientific knowledge through study and clinical applications.

Section 6. The osteopathic medical profession has an obligation to society to maintain its high standards and, therefore, to continuously regulate itself. A substantial part of such regulation is due to the efforts and influence of the recognized local, state and national associations representing the osteopathic medical profession. A physician should maintain membership in and actively support such associations and abide by their rules and regulations.

Section 7. Under the law a physician may advertise, but no physician shall advertise or solicit patients directly or indirectly through the use of matters or activities which are false or misleading. View further interpretation.

Section 8. A physician shall not hold forth or indicate possession of any degree recognized as the basis for licensure to practice the healing arts unless she/he is actually licensed on the basis of that degree in the state or other jurisdiction in which she/he practices. A physician shall designate her/his osteopathic or allopathic credentials in all professional uses of her/his name. Indications of specialty practice, membership in professional societies, and related matters shall be governed by rules promulgated by the American Osteopathic Association. View further interpretation.

Section 9. A physician should not hesitate to seek consultation whenever she/he believes it is in the best interest of the patient.
Section 10. In any dispute between or among physicians involving ethical or organizational matters, the matter in controversy should first be referred to the appropriate arbitrating bodies of the profession.

Section 11. In any dispute between or among physicians regarding the diagnosis and treatment of a patient, the attending physician has the responsibility for final decisions, consistent with any applicable hospital rules or regulations.

Section 12. Any fee charged by a physician shall compensate the physician for services actually rendered. There shall be no division of professional fees for referrals of patients.

Section 13. A physician shall respect the law. When necessary a physician shall attempt to help to formulate the law by all proper means in order to improve patient care and public health.

Section 14. In addition to adhering to the foregoing ethical standards, a physician shall recognize a responsibility to participate in community activities and services.

Section 15. It is considered sexual misconduct for a physician to have sexual contact with any patient with whom a physician-patient relationship currently exists.

Section 16. Sexual harassment by a physician is considered unethical. Sexual harassment is defined as physical or verbal intimation of a sexual nature involving a colleague or subordinate in the workplace or academic setting, when such conduct creates an unreasonable, intimidating, hostile or offensive workplace or academic setting.

Section 17. From time to time, industry may provide some AOA members with gifts as an inducement to use their products or services. Members who use these products and services as a result of these gifts, rather than simply for the betterment of their patients and the improvement of the care rendered in their practices, shall be considered to have acted in an unethical manner. View further interpretation.

SECTION 18. A physician shall not intentionally misrepresent himself/herself or his/her research work in any way.

SECTION 19. When participating in research, a physician shall follow the current laws, regulations and standards of the United States or, if the research is conducted outside the United States, the laws, regulations and standards applicable to research in the nation where the research is conducted. This standard shall apply for physician involvement in research at any level and degree of responsibility, including, but not limited to, research, design, funding, and participation either as examining and/or treating provider, supervision of other staff in their research, analysis of data and publication of results in any form for any purpose.
Appendix 10. Building Use – Form

College of Osteopathic Medicine
Faculty Annual Review and Record of Achievement

Completed by all full-time faculty, both tenure track and non-tenure track

Submission Deadline: First working day of February before 5 pm

1. Until such time that software is acquired to generate the academic portfolio, faculty are asked to respond to the appropriate standards as described in this document. Note that some/many fields will not be applicable and should be left blank. Faculty are encouraged to copy and paste from the CV where appropriate.

2. Upon completion, the document is saved as a word file and submitted to the Chair of the Department and copied to the Dean’s administrative assistant (no later than the first regular work day of February deadline).

Process:

1. Faculty complete the annual review reporting document as described below:
   a. As required by Sam Houston State University Academic policy 820317, faculty participate in the faculty evaluation system (FES) that is used for purposes of faculty development, contract decisions, and rewarding meritorious performance through salary adjustments.
   b. The Annual Review is a one-year snapshot based on performance from the first day of the calendar year (January 1) and ends on the last day of the calendar year (December 31).
   c. It is recognized that some events may “fit” more than one of the areas included. Faculty are to report such items in just one category as an accomplishment; it can only count towards ONE of the merit areas (scholarship, teaching, or service).
   d. Artifacts such as published manuscripts, certificates, letters, etc. should be collected and stored until such time that they can be submitted with digital portfolio.
   e. Only accomplishments completed within the year are to be included.
      i. Accomplishments initiated but not completed will not be included. For example, a publication will not be “counted” when it is under review or “accepted,” but only when it has been published for viewing. Similarly, curricular materials developed should only be reported if they have been completed and are ready for delivery, and presentations are not included until they have been presented at the scheduled event.

2. Following submission, Department Chairs will review the document and schedule time for personal consultation with each faculty member in their respective department.
   a. Chairs will utilize criteria established by the COM Faculty Evaluation System Committee to rate faculty performance.
   b. Chairs will offer feedback including strengths and opportunities for each faculty. Chairs will assist faculty in establishing goals, and evaluate and assist in addressing achievement of prior goals as well as development of remediation plan if necessary.
   c. Both the Chair and faculty member are required to sign the document as evidence that the consultation has occurred. Signature does not indicate faculty agreement with results, and according to SHSU policy faculty may utilize grievance procedures.
   d. Chairs will complete all faculty consultations prior to SHSU Spring Recess and report results including recommendations for inclusion in merit pay to the Dean.
3. Per university policy, faculty must “meet expectations” or achieve “satisfactory” ratings in all appropriate areas to be considered for merit pay.
   a. Biomedical faculty – teaching, scholarly work, service and professionalism
   b. Clinical faculty - teaching, scholarly work, service, clinical activity and professionalism
4. Chairs are considered faculty, and will complete the faculty annual review. Additionally, they will complete a supplemental review of administrative duties.
Appendix 11. Elements of the Academic Portfolio

The following serves as a general guideline on what to include in the annual review. It is not intended to be a “check list” or comprehensive document. Faculty are encouraged to include items in the annual review that may not be included here.

TEACHING

1. Teaching Overview and Philosophy
   a. A reflective “teaching statement” describing your philosophy and goals that guide your practice as a teacher, assessor of learners, mentor, advisor and/or educational leader.
      i. Teaching Philosophy, Overview of teaching activities, reflective comments, highlights (including awards), future plans

2. Documentation of Teaching
   a. List of courses directed/codirected, taught and/or lectured in with enrollments and description of responsibilities
   b. Descriptions and examples of teaching techniques, technologies or learning strategies
   c. Descriptions of supporting course materials developed including videos, formative assessments, exam prep, etc.
   d. Duties as module or clerkship director, co-director, residency program director or associate director with enrollments and description of responsibilities including elective courses
   e. Descriptions of academic experiences led in a clinical environment such as precepting or teaching rounds for medical students or residents, etc. including hours of instruction.

3. Teaching Effectiveness
   a. Summary of student evaluations of teaching including response rate
   b. Written comments from students on evaluations
   c. Peer/Professional Evaluation – may include others teaching in the same course, departmental/college peers and or educational reviewer (by request only)
   d. Self-evaluation and improvement

4. Materials Demonstrating Student Learning
   a. Student scores on standardized or other tests and performance evaluations (OSCE, simulation, clinical observations, etc.)
   b. Select anonymous samples of graded work with instructors feedback

5. Activities to Improve Instruction
   a. Participation in faculty development including seminars, webinars, courses, or professional meetings on teaching with description of impact
   b. Mentoring relationship to improve instruction
   c. Innovative ideas and implemented changes in course materials, methods, and approach to improvement of teaching / learning with evidence of outcomes

6. Curriculum Development
   a. Work on curriculum development and/or revision including entirely new courses, or course modules/sessions (form of scholarship or put with teaching?)
   b. Collaborative efforts in building course sessions, materials, methods, etc.
   c. Re-design of courses, course materials, or other teaching session materials
   d. Design of new and or innovative teaching projects, methods of teaching, assessments of learning, grading, etc. Include both level of success and plans for continued improvement
   e. Preparation of textbook, lab manual, courseware, checklists, etc.

7. Teaching Related Honors, Awards, or Recognitions
a. Teaching awards from department, college, university, or profession
b. General Recognition
   i. Invitations to referee manuscripts, dissertations
   ii. Letters of appreciation for services rendered
   iii. Invitations to present keynote addresses, chair conference sessions, talk to special
groups or media
8. Advising & Mentoring
   (Adviser directs - mentor guides taking into consideration person’s needs, passions, etc.)
Differentiate students by group: high school, undergraduate and graduate/medical
   a. List of advisees and description of role
   b. List of students mentored and description of role - research students, thesis/dissertation topics,
supervisory role
c. Training received to improve role as advisor and/or mentor
d. Mentoring and assistance to colleagues
e. Number and type of letters of recommendation written

Appendices: Syllabi, full copy of student evaluation of teaching; when available - unsolicited letters from
students and alumni, comments from colleagues regarding the preparation of students for advanced work, etc.

SCHOLARLY WORK
1. Overview and impact of one’s scholarly work
   a. A reflective narrative describing the overview and impact of one’s scholarly activities.
2. Activities to Improve scholarly work
   a. Courses, certification, and training related to research methods, grant writing, research
methods, etc. Also include journal club participation, and other special mentoring/peer group
participation that advances ones skillset.
3. Scholarship
   a. Publications
      Provide citation of manuscript and follow with a brief description of your role when multiple
authors and journal impact factor.
      i. Abstracts – published.
      ii. Peer reviewed
         1. Books, Book Chapters and other “non-journal” publications
         2. Original manuscript
         3. Abstracts
         4. Patents
      iii. Non-peer reviewed
          Newsletter or magazine, Blog article, Conference proceedings, Media, etc.
   b. Presentations
      i. Extramural
         1. Oral - Indicate audience (peer, lay) and venue (COM, University, Local, National,
         etc)
         2. Poster - Indicate audience (peer, lay) and venue (COM, University, Local,
         National, etc)
      ii. Intramural
         1. Oral - Indicate audience (peer, lay) and venue (COM, University, Local, National,
         etc)
2. **Poster** - Indicate audience (peer, lay) and venue (COM, University, Local, National, etc)

4. **Funding**
   Agency/sponsor, grant type, title, funding period, date of submission, total funds. Also note: funded/unfunded, as well as if award is subcontract or trainee fellowship
   a. External research income: dates, researchers, program title, funder, amount, role, time and brief project description
   b. Internal research income: dates, researchers, program title, funder, amount, role, time and brief project description

5. **Administration of Scholarly work**
   a. Training and oversight of teaching assistants, junior faculty, interdisciplinary colleagues, etc
   b. Research management including oversight of technical staff, laboratory management, project lead on collaborative efforts, etc.
   c. Training and assistance to peers pertaining to research efforts

6. **Scholar Recognition**
   a. Awards: professional societies, industry, government, university, or college
   b. Peer recognition
      i. Invitations to referee manuscripts, dissertations
      ii. Letters of appreciation for services rendered
      iii. Invitations to present keynote addresses, chair conference sessions, talk to special groups or media

Appendices: Publications, certificates, grant award letters, etc.

**SERVICE**

1. **Service to the College**
   a. Positions/ Roles held (Chair/member of committees, working groups, special projects and assignments). Include brief description of role and impact as well as time commitment
   b. COM recruitment and other internal presentations

2. **Service to the University**
   a. Positions/ Roles held (Head of committees, working groups, special projects and assignments)
      Include brief description of role and impact as well as time commitment

3. **Service to the Profession or Academic Discipline**
   a. Service on professional organizations
   b. Reviews of textbooks and journal articles - Journal reviewed for and number of articles reviewed
   c. Other Positions/ Roles held (Head of committees, working groups, special projects and assignments, role in continuing education, participation in panels, taskforces, etc.) Include brief description of role and impact as well as time commitment

4. **Service to the Community**
   a. Position/ Role held. Include brief description of role and time commitment

5. **Service Recognition**
   a. Awards: Professional societies, industry, university, clinical, etc.
   b. Peer or student service recognition

Appendices: copies of letters, awards, publications noting service, etc.
CLINICAL ACTIVITY

1. **Patient Care Philosophy**
   a. A reflective “patient care statement” describing your philosophy, strategies, objectives and goals that guide your clinical practice and related activities (include mission alignment)

2. **Documentation of Clinical Practice**
   a. Clinical workload, including number of scheduled days in clinic and on call, number of patients in panel, type of hospital privileges, number of hospital admissions
   b. Descriptions of scope of practice, including demographics of patient panel and list of diagnoses
   c. Productivity per clinic session (number of patients seen per half-day in clinic)

3. **Clinical Practice Effectiveness**
   a. Summary of quality metrics, including preventive measures, peer comparisons of costs of practice, etc.
   b. Peer/Professional Evaluation – may include others practicing in the same clinic, or other reviewer (by request only)
   c. Self-evaluation and improvement

4. **Materials Demonstrating Clinical Impact**
   a. Patient satisfaction (survey results, “no-show” rates)
   b. Letter from supervisor or peers noting collaboration, consultation, etc.

5. **Activities to Improve Clinical Practice**
   a. Participation in continuing medical education including seminars, webinars, courses, professional meetings, training, and certification or maintenance of certification activities related to clinical specialty, quality assurance, technology, methods and techniques, etc. with description of impact
   b. Mentoring relationship to improve clinical practice
   c. Implemented changes in evaluation/management and approach to improvement of clinical outcomes
   d. Innovative ideas brought to the clinical practice with evidence of outcomes (worked well – didn’t work well)

6. **Clinical Leadership and Administration**
   a. Management of clinical operations, including oversight of clinical staff, implementation and ongoing supervision of electronic health records, laboratory management, project lead on collaborative efforts, etc. as Medical Director of clinic, CLIA Lab Director, or director of other clinical practice aspect or setting
   b. Mentoring and assistance to colleagues on clinical matters including patient evaluation/management, procedure for diagnosis or treatment, and documentation for continuity or billing, etc.
   c. Work on development and/or revision of entirely new or aspects of existing clinical practice
   d. Collaborative efforts in building clinical procedures, algorithms, documentation templates, or other practice materials, methods, etc.
   e. Re-design of aspects of clinic operations, procedures, documentation, or other training or patient education materials
   f. Design of new and or innovative clinical projects, methods of evaluation and management, assessments of patient outcomes, etc. (Include both level of success and plans for continued improvement)
   g. Preparation of clinic procedure manual, clinic laboratory manual, documentation templates, coding and billing aids, etc.
7. **Clinical Practice Related Honors, Awards, or Recognition**
   
a. Awards from department, college, university, community or regional entities, professional societies, industry, government
b. General Recognition
   
i. Invitations to serve on boards, panels, etc.
   
ii. Letters of appreciation for services rendered including communications from patients
   
iii. Invitations to present keynote addresses, chair conference sessions, talk to special groups or media

Appendices: Clinic schedule with average patient visits per half-day, call schedules, clinic patient panel demographics and visit diagnoses, hospital privileges and admission numbers, quality metric reports, patient survey results, manuals or other materials prepared, unsolicited letters/reviews from patients or colleagues regarding impact on clinical care, etc.
Appendix 12. Faculty Evaluation Summary Report

Name ___________________________________ Date ______________________

SHSU Start Date (month/year) _______________ Number of years in position _________

Area of Excellence - choose from: Teaching, Scholarship, or Clinical (on hold for now)

FTE Assignment (to be completed following consultation with Chair)
Teaching _________% Scholarly Work _________% Service _________% Clinical Activity _________%

Describe and evaluate your overall performance and/or achievements in each of the following categories for this review period (some/many items may be left blank). Please attach artifacts where appropriate (publications, letters, etc.)

A. TEACHING
9. Teaching Overview and Philosophy (500 word maximum)
10. Documentation of Teaching
   a. Courses taught (title-s-, # of contact hours, role)
   b. Courses directed (title-s-, # of contact hours, role)
   c. Sessions taught/facilitated (see table below)

<table>
<thead>
<tr>
<th>Course Title</th>
<th>Session # (ID)</th>
<th>Session Title</th>
<th>Contact hours</th>
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11. Teaching Effectiveness
   a. Student evaluations
   b. Peer/professional evaluation
   c. Performance in standardized test
   d. Self-evaluation/reflection

12. Materials Demonstrating Student Learning

13. Activities to Improve Instruction/Professional Development

14. Curriculum Development
   a. Courses developed (title-s-, # of contact hours, role)
   b. Innovative teaching/learning materials
   c. Sessions developed (see table below)

<table>
<thead>
<tr>
<th>Session #</th>
<th>Date</th>
<th>Day</th>
<th>Time</th>
<th>Topic</th>
<th>Faculty</th>
<th>Location</th>
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15. Teaching Related Honors, Awards, or Recognitions

16. Advising & Mentoring

B. SCHOLARLY WORK
7. Overview and Impact of One’s Scholarly Work (500 word maximum)
8. Activities to Improve Scholarly Work
   a. Scientific meetings
b. Research groups
c. Faculty development

9. Scholarship
   a. Publications (published)
      i. Abstracts
      ii. Peer-reviewed indexed journals
      iii. Non peer-reviewed
   b. Presentations
      i. Extramural
         1. Oral
         2. Poster
      ii. Intramural (within the University)
         1. Oral
         2. Poster

10. Funding
    
    | Agency | Grant type | Title | Funding period | Awarded/submitted | Total Cost (D+I) |
    |--------|------------|------|----------------|-------------------|-----------------|
    |        |            |      |                |                   |                 |
    |        |            |      |                |                   |                 |
    |        |            |      |                |                   |                 |

11. Administration of Scholarly Work
12. Scholar Recognition

C. SERVICE
   6. Service to the College
   7. Service to the University
   8. Service to the Profession or Academic Discipline
   9. Service to the Community
   10. Service Recognition

D. CLINICAL ACTIVITY
   8. Patient Care Philosophy
   9. Documentation of Clinical Practice
   10. Clinical Practice Effectiveness
   11. Materials Demonstrating Clinical Impact
   12. Activities to Improve Clinical Practice
   13. Clinical Leadership and Administration
   14. Clinical Practice Related Honors, Awards, or Recognition

E. PROFESSIONALISM – describe your commitment to professionalism and give examples.

F. UNIQUE WORK - describe the unique nature of your work during the review period January 1, 2019 through December 31, 2019 (this will allow the reviewer to match faculty effort with achievement evaluated).

G. GOALS DURING THIS REVIEW PERIOD (list goals and annotate specifics including outcomes and impact, difficulties encountered, additional work to be completed, requests for support, etc.).
H. **GOALS for NEXT REVIEW PERIOD** (List specific goals and/or projects, to accomplish during the next review period).
<table>
<thead>
<tr>
<th>TEACHING</th>
<th>Unsatisfactory</th>
<th>Satisfactory</th>
<th>Excellent</th>
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<tr>
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<td>Below expected performance</td>
<td>Meets expectations</td>
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<td>Chair/Director/Designee Assessment</td>
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**Reviewer summary:**

**Conference date:** ________________________

**Signature ________________________**

(Chair / Evaluator)

**Date ____________________________**

**Signature ________________________**

(Faculty)

**Date ____________________________**
CHAPTER V. COMPONENT PERSONNEL

1. COMPONENT EMPLOYEES.

1.1 Definitions.

A Component or System office employee is any person who is under the authority and in the paid service of a Component which is under the jurisdiction and control of the Board of Regents of The Texas State University System, other than independent contractors or consultants.

1.11 A faculty employee is an employee with a specified academic rank holding a teaching appointment for a fixed term as determined by the President of the Component and approved by the Board of Regents (see Paragraph 4 of this Chapter).

1.12 A staff employee is any employee other than a faculty employee.

1.121 Unclassified staff employees include administrative officers and other administrative and professional personnel who are serving without fixed terms and who are not included in the Component’s classification plan (see Paragraphs 3 and 5 of this Chapter and the exception provided for in Subparagraph 1.13 of this Chapter).

1.122 Classified staff employees include those personnel who are appointed without fixed terms to those job classes in the Component’s classification plan which requires similar duties, skills, and qualifications including but not limited to secretarial, clerical, technical, paraprofessional, protective service, skilled crafts, and labor/service/maintenance (see Paragraph 5 of this Chapter).

1.123 Administrative officers are Vice Presidents, Deans, and other administrative personnel with delegated executive authority as determined by the President. The President shall file with the System Administration the title of any administrative personnel other than Vice Presidents and Deans to whom executive authority has been delegated.

1.13 Special Employment Contracts. Notwithstanding the Board’s employment-at-will policy, in exceptional cases, where the Component President determines that the nature of the particular profession demands special consideration, the Component may enter into a special employment contract for a term not greater than three (3) years with an individual as an unclassified staff member. If the employee is paid wholly from non-appropriated funds, the contract term may not exceed five (5) years. Contracts in excess of the President’s authority shall be subject to the Chancellor’s review and approval.
1.131 Each contract must include a provision permitting its termination for cause (as defined in the contract) without penalty.

1.132 An employee under such a contract may be reassigned to other duties within the Components, retaining his or her base salary for a period not to exceed one (1) year, after which he or she shall be compensated until the contract expires at a rate not to exceed the salaries of other similarly situated employees. If the compensation for the contract is paid from non-appropriated funds, Components may include contract buyout terms in lieu of a reassignment provision.

1.133 If an employee is also provided a concurrent teaching appointment, the System’s Rules and Regulations related to faculty will govern the teaching appointment.

2. GENERAL.

2.1 Employment.

2.11 Non-Discrimination Policy. The Texas State University System, including its Components, is an equal opportunity/- affirmative action employer and complies with all applicable federal and state laws regarding non-discrimination and affirmative action, including Title IX of the Education Amendments of 1972 and Section 504 of the Rehabilitation Act of 1973. The Texas State University System, including its Components, is committed to a policy of non-discrimination and equal opportunity for all persons regardless of race, sex, color, religion, national origin or ancestry, age, marital status, disability, or veteran status, in employment, educational programs, and activities and admissions.

2.12 Hiring and Promotions.

2.121 The President or other administrative officers of the Component will investigate thoroughly the character, integrity, scholastic attainment, and other qualifications of prospective members of the administration before nominating them to the Board or before exercising any delegated authority for making appointments.

2.122 Each Component may require a physical examination, performed by qualified medical personnel approved by the Component, of applicants to be employed. The expense of the examination will be paid by the Component.

2.13 Terminations. The Components shall retain and submit to the System Administration specific reports on terminations of all full-time employees as requested by the System Administration.
2.131 The Board of Regents or the President of the Component may suspend without prior notice or hearing and immediately remove from the Component any employee whose presence poses a continuing danger to persons or property or an ongoing threat of disrupting the Component. The President shall as soon as possible notify the Vice Chancellor and General Counsel of such action. In such cases, the President will set a hearing before the appropriate administrator or committee on the employee's case as soon thereafter as is practicable unless otherwise waived by the employee.

2.132 Employees, including both faculty and staff, shall be subject to discipline and/or dismissal for violating Component policy relating to electronic network facilities such as local area networks and the Internet. Nothing herein shall be construed in derogation of the Board’s employment-at-will policy.

2.133 Any employee of any Component of the System, including any member of the administration or faculty, who, acting either singly or in concert with others, obstructs or disrupts, by force or violence, any teaching, research, administrative, disciplinary, public service, or other activity authorized to be held or conducted on the campus of a Component of the System, shall be subject to dismissal as an employee. As used in this Subparagraph, the words "force or violence" include but are not limited to such acts as "stand-ins," "sit-ins," and "lie-ins" when such acts are in fact obstructive or disruptive of any of the authorized activities listed above.

2.134 Every employee is expected to obey all Federal, State, and local laws, particularly Texas Penal Code, Section 42.01 and 42.05 (Disorderly Conduct and Disrupting Meeting or Procession) and Texas Education Code, Section 37.123 and 37.125 (Disruptive Activities and Exhibition of Firearms). Any employee who violates any provision of these four statutes is subject to dismissal as an employee notwithstanding any action by civil authorities on account of the violation.

2.135 The minimum standards of individual conduct required by the penal statutes of Texas or the United States are both expected and required of every employee of the System and its Components. Any employee who violates the minimum standards of conduct required by any penal statute of Texas or the United States is subject to dismissal as an employee regardless of whether any action is taken against the employee by civil authorities on account of such violation.
2.136 If action for dismissal of an employee is taken, the appropriate administrative officer shall proceed with the action in the same manner as would be the case of a violation by an employee of any other provision of these Rules and Regulations or a provision of the faculty or staff handbook of the Component.

2.14 Grievances. Every employee of each Component, individually or through a representative that does not claim the right to strike, shall be entitled to present grievances to a hearing officer designated by the President concerning such employee’s wages, hours of work, or conditions of work. Such grievances shall not involve formal hearings.

2.141 If the grievance involves an allegation of discrimination and the hearing officer finds that the grievant has established a prima facie case, the hearing officer shall determine whether the administration has stated a nondiscriminatory reason for its decision and so advise the President, who shall make the final decision regarding the grievance.

2.142 At Components that have an office specifically charged with hearing claims of discrimination, the hearing officer shall refer such claims to that office and advise the President or his or her designee of the referral. The President or his or her designee shall make the final decision regarding the matter.

2.2 Appointment of Relatives (Nepotism Rule).

2.21 Each appointment of an employee at a Component, whether on a full-time or part-time basis, shall be made solely with regard to the special fitness of the appointee subject to applicable statutes and subject also to the provisions of this Paragraph of the System’s Rules and Regulations.

2.22 In accordance with the prohibition of Government Code, Chapter 573, no person related to any member of the Board of Regents within the second degree of affinity or within the third degree by consanguinity shall be eligible for appointment to any office, position, employment, or duty with any Component of The Texas State University System, when the salary, fee, or compensation of such appointee is to be paid, either directly or indirectly, out of public funds of any kind.

2.221 Government Code, Chapter 573 does not prohibit the reappointment or continued employment of any person who shall have been continuously employed in any such office, position, employment, or duty for a period of one (1) year prior to the appointment of the member of the Board of Regents related to such person within the
prohibited degree, nor does it prohibit honorary or non-remunerative positions.

2.222 The prohibition of Government Code, Chapter 573 applies to all programs administered under the Board of Regents and may not be waived.

2.223 When a person is allowed to continue employment because of the operation of the exception specified by Subparagraph 2.221 of this Chapter, the Board member who is related to such person shall not participate in the deliberation or voting upon the appointment, reappointment, employment, confirmation, re-employment, change in status, compensation, or dismissal of such person, if such action applies only to such person and is not taken with respect to a bonafide class or category of employee.

2.23 Even though the appointment of a person would not be prohibited by Government Code, Chapter 573, special arrangements for personnel actions must be made before a Component may employ any person related within the second degree of affinity or the third degree of consanguinity to another employee if:

(a) Such employment causes one relative to have a direct supervisory relationship over the other relative; or

(b) Such employment causes one relative to have authority over the salary or other terms of employment of the other.

This policy does not prohibit the reappointment or continued employment of any person related to another within either of the prohibited degrees who shall have been employed in a Component before the adoption of this policy. However, no System employee may approve, recommend, or otherwise act with regard to the appointment, reappointment, promotion, or salary of any person related within either of the prohibited degrees.

2.231 If the appointment, reappointment or continued employment of a person places such person under an administrative supervisor related within the above specified degree, all subsequent actions with regard to reappointment, promotion, or salary shall be the responsibility of the next highest administrative supervisor. It shall also be the responsibility of the next highest administrator to make a written review of the work performance of such employee at least annually and submit each review for approval or disapproval by the Component's appropriate Vice President in the case of classified employees or the President in the case of faculty or unclassified employees. When appropriate, the next highest administrator may delegate these
responsibilities to another administrator who is neither related to the person subject to the personnel actions nor in that person's reporting line.

2.232 All situations covered by Subparagraph 2.231 of this Chapter shall be reported annually in May through the Components' President's Report to the Board.

2.3 Retirement and Recognition of Service.

2.31 Retirement Programs. The Board of Regents authorizes each Component in the System to make retirement programs available to each eligible employee through the Teacher Retirement System of Texas, or the Optional Retirement Program, and tax sheltered annuities as authorized by statute.

2.32 Requirements of the Optional Retirement Program.

2.321 Company Qualifications. Each Component will design its specifications for companies to qualify as Optional Retirement Program vendors on that Component's campus. The Board of Regents must approve those specifications. Thereafter, the Component's President (or the President's designee) may authorize any insurance or investment company qualified and admitted to do business in this State to offer an ORP on the Component's campus. Any program offered is subject to compliance with statutory provisions, the prescribed Rules and Regulations of the Texas Department of Insurance, the State Securities Board, the Texas Higher Education Coordinating Board, and the requirements of the Board of Regents.

2.322 Contributions. Employee and State contribution rates for the Optional Retirement Program and Teacher Retirement System shall comply with law.

2.323 Tax Considerations. Whether or not the employer's and/or employee's contributions to the Optional Retirement Program are tax sheltered, the employee's contribution is made on all salary reduction as required by the ORP statute. All contributions shall comply with IRS laws and regulations for accounts authorized under Section 403(b) of the Internal Revenue Code."

2.324 Authorization. The Component President or a representative designated by the President shall be authorized to sign the forms necessary to administer the Optional Retirement Program and the Teacher Retirement System.

2.325 Certification of State Comptroller. Each Component shall be required to certify to the State Comptroller each Fiscal Year an estimate of the amount of funds required for
payments of State Matching Contributions for participants in the Optional Retirement Program.

2.326 Eligibility to Participate. An employee of a Component of The Texas State University System is eligible for participation in the Optional Retirement Program in accordance with rules adopted by the Texas Higher Education Coordinating Board. An employee who has met the ORP vesting requirement and subsequently transfers to a position which would not otherwise qualify for ORP participation shall remain in ORP except as authorized by TRS rules.

2.33 Salary Reduction Plan of the Optional Retirement Program. The Components are authorized to participate in the salary reduction agreement of the Optional Retirement Program as provided by statute. The Component President or a representative designated by the President is authorized to approve the forms required for this salary reduction agreement through those carriers approved by the Component in the implementation of the Optional Retirement Program.

2.34 Honorary Titles and Resolutions for Retirees. Faithful and distinguished service by a retiring faculty member or administrator may be recognized by an appropriate resolution of the Board, upon recommendation of the Local Committee.

2.341 Long and distinguished service by a faculty member holding the rank of Professor or Associate Professor may be recognized upon retirement by conferral of the title of Professor Emeritus, Associate Professor Emeritus, Distinguished Professor Emeritus or Distinguished Associate Professor Emeritus as provided by Subparagraph 4.9 of this Chapter.

2.342 Faithful and distinguished service by the President of a Component may be recognized by the Board upon retirement, or upon returning to full-time teaching if a tenured member of the faculty, by conferral of the honorary title President Emeritus of the Component, without remuneration or authority for this honorary title.

2.4 Standards of Conduct. Except as exempted by Subparagraphs 12.(16), 12.(17) and 12.(18) of Chapter III of these Rules and Regulations, all Component employees shall adhere to the standards of conduct articulated in Chapter VIII:

2.41 No employee shall engage in any form of sexual harassment as defined by Subparagraph 4.4 of Chapter VII of these Rules and Regulations, or racial harassment as defined by Subparagraph 4.3 of Chapter VII of these Rules and Regulations. As prescribed in Paragraph 4.43 of Chapter VII of these Rules and Regulations, any employee who violates these rules prohibiting sexual and
racial harassment shall be subject to discipline and/or dismissal from employment.

2.42 No contacts on behalf of the Component, its programs or the System to the Legislature shall be made without the specific approval of the Component President who shall inform the System Administration Office. Information, not considered under law to be confidential, which is requested by a member of the Legislature or committee or by any other state official or employee and which relates to proposed or pending legislation, shall be furnished to the requesting party and the System Administration Office informed of the request and information provided. The Presidents shall be responsible for advising their Component employees of this rule at the start of each legislative session. See also Chapter VIII, Paragraph 6 of these Rules and Regulations pertaining to political activities.

2.5 Absences.

2.51 The President of each Component shall adopt policies and guidelines covering the authorized absences for all faculty and staff employees, including administrative officers. Such policies and guidelines shall be in accordance with the provisions of current statutes and these Rules and Regulations. A leave of absence granted to a faculty or staff employee by the President of the Component under the provisions of this Subparagraph shall not modify in any way the employment status of the employee as defined in Chapter V, Paragraphs 1-5, of these Rules and Regulations unless such modification in status is approved in advance by the Board of Regents. Unless approved in advance by the Board, upon expiration of the leave, the employee shall return to the same job classification, pay benefits, seniority and under the same conditions of employment as he held prior to the leave.

2.6 Power to Bind the System in Fixing Its Policies. No employee of the System or any of its Components, as an individual or as a member of any association or agency, has the power to in any way bind the System or any of its Components unless such power has been officially conferred in advance by the Board. Any action which attempts to change the policies or otherwise bind the System or any of its Components, taken by any individual or any association or agency, shall be of no effect whatsoever until the proposed action has been approved by the President concerned and ratified by the Board.

2.7 Payroll Deductions. The Components within The Texas State University System shall not make automatic payroll deductions from an employee's paycheck for any purpose unless the deduction is authorized by law.
3. **ADMINISTRATIVE OFFICERS.**

3.1 Employment.

3.11 Hiring. The President of each Component shall recommend annually to the Chancellor, before presentation to the Board of Regents, the employment or re-employment of all administrative officers, stating their names and academic credentials, if applicable. Such officers shall not have tenure by virtue of their office and shall serve without fixed term subject to the pleasure of the President. Statutory provisions requiring notification to employees shall be followed.

3.2 Terminations.

3.21 Limited Right to Hearing. The President of a Component may terminate the employment of an administrative officer of the Component when in the President’s judgment the interests of the Component require termination. An administrative officer shall not have a right to a hearing unless the officer makes a *prima facie* showing that the decision to terminate violates rights guaranteed by the laws or Constitution of the State of Texas or of the United States and requests an administrative hearing to review the allegations. In such case the administrative officer shall be afforded an opportunity to present allegations before a hearing committee consisting of three impartial administrative officers of the Component appointed by the President. Such allegations shall be heard under the same procedures as in the case of dismissal of faculty for cause, with the following exceptions:

1. The burden of proof is upon the affected administrative officer to establish at such hearing that the decision in question constitutes violation of a right guaranteed by the laws or Constitution of the State of Texas or of the United States.

2. The President of the Component need not state the reasons for the questioned decision nor offer evidence in support thereof unless the affected administrative officer presents a *prima facie* case in support of such allegations. In such case, the hearing committee shall determine whether the President has no other reason for his decision.

3. The hearing committee will make written findings on the material facts and a recommendation, which findings and recommendation shall be forwarded to the President and to the affected administrative officer. The administrative officer may appeal to the President and ultimately to the Board of Regents in accordance with the terms and procedures specified in Subparagraphs 4.55 and 4.56 of this Chapter.
3.22 Tenured Faculty as Administrators. If the administrative officer has tenure at the Component by virtue of holding a past faculty position or otherwise, termination as a member of the tenured faculty shall be only for good cause shown, and the official shall be given a hearing if terminated from tenured faculty status.

3.3 Sexual Misconduct. Administrative officers shall comply with the System’s “Sexual Misconduct” policy found in Chapter III, Paragraph 22 and Appendix A-6.

4. FACULTY.

4.1 Employment.

4.11 Board Goals for Faculty. The Board of Regents strongly desires to maintain learned faculties who, by precept and example, will instruct and inspire their students and reflect credit upon the Component. The Board encourages scholarship, creative activity, research, and public service but affirms that the primary goal of each faculty member shall be to attain a greater proficiency in teaching.

4.12 Nominations. The President of each Component shall recommend to the Chancellor and the Board the employment or re-employment of faculty members to be awarded term or annual appointments, advising in writing as to the tenure status, proposed academic rank, and highest degree of each nominee.

4.13 Appointments. All faculty appointments, including the granting of tenure, are subject to the approval of the Chancellor and the Board. At the earliest practicable Board meeting following the Governor’s approval of the State’s General Appropriations Act, the Board shall appoint the faculty and other teaching personnel to term or annual appointments for a specified period not to exceed one year, renewable annually for up to five years, contingent upon satisfactory annual performance evaluations, departmental need, and continuity of funding. The President shall advise each appointee in writing of the provisions and conditions of the appointment. If a faculty member has already been appointed by the Board for either a fall or spring semester, the contract may be extended for the summer or for additional special assignments during the same Fiscal Year by the President, unless the extension includes a change in academic rank or an increase in the base salary.

4.14 Reappointments. Written notice of a decision not to reappoint will be given to a tenure track faculty member not later than March 1st, of the first, or not later than December 15th of the second, academic year of probationary service. After two or more academic years, written notice shall be given not later than August 31st that the subsequent academic year will be the terminal year of appointment. The notice required by this Subparagraph is not
applicable where termination of employment is for good cause under Subparagraph 4.5 or for faculty members who are appointed on a term basis.

4.141 Reappointment or the award of tenure shall be accomplished only upon the President’s written recommendation and the Chancellor’s and the Board of Regent’s approval. If the faculty member does not receive notice as prescribed in this Chapter, it shall be his or her duty to inquire as to the decision of the President, who shall without delay give the required notice to the faculty member. Failure of the Component to comply with the notice provisions of this Chapter shall not entitle a faculty member to de facto tenure, and these Rules and Regulations expressly prohibit the awarding of de facto tenure.

4.142 Each faculty member shall keep the President or his or her designee notified of the faculty member’s current mailing address. Written notices required by Subparagraphs 4.24 or 4.54 shall be sent by certified mail, return receipt requested. Notice shall be complete when deposited in the United States mail, addressed to the last known address given by the faculty member. The faculty member’s failure or refusal to receive the notice is immaterial.

4.15 Vacancies. A President may fill, by interim appointment, a faculty vacancy, subject to the Chancellor’s and Board of Regent’s ratification.

4.16 Salary Authority. No faculty member’s salary, regardless of the source of funds, shall exceed the Component President’s salary as designated by the Legislature in the General Appropriations Act, unless the salary is specifically recommended by the Chancellor and approved by the Board of Regents.

4.2 Tenure.

4.21 Defined. Tenure denotes an entitlement to continued employment as a member of the faculty at a Component in accordance with the provisions of these Rules and Regulations. Tenured faculty can expect those privileges customarily associated with tenure at their Component. Such privileges include a suitable office and workspace, serving as a principal investigator and conducting of research, teaching classes, and participating in faculty governance. However, tenure does not create a property interest in any attributes of the faculty position beyond the annual salary. By way of example only, tenure does not create a property interest in laboratory space, a particular office, the right to teach graduate students, or use of research materials or equipment. Only members of the faculty with the academic title of Professor, Associate Professor, or Assistant Professor may be granted tenure, unless the Component handbook recognizes the rank of Instructor as eligible
for tenure. In exceptional cases, tenure may be granted at the time of appointment to any of such academic ranks by the Board of Regents or may be withheld pending satisfactory completion of a probationary period of faculty service. For tenure to be granted at the time of appointment, the President shall submit a written justification and recommendation to the Chancellor for review. If the Chancellor supports the grant of tenure, he or she may authorize the President to offer the prospective faculty member tenure, subject to subsequent approval by the full Board.

4.22 Tenure Track Faculty. Only full-time service in the academic ranks of Professor, Associate Professor, Assistant Professor, and/or Instructor (at Component where such is an academic rank eligible for tenure) shall be counted toward fulfillment of a required probationary period. Periods during which a faculty member is on leave of absence shall not be counted toward fulfillment of a required probationary period. If the Component faculty handbook does not recognize the rank of Instructor as eligible for tenure, then no more than three (3) years service as Instructor shall be so counted.

4.23 Prior Service Credit. At the discretion of the Component, up to three (3) years prior service at the other academic Component may be counted toward fulfillment of the required probationary period.

4.24 Maximum Probationary Service. The maximum period of probationary faculty service in tenure track status in any academic rank or combination of academic ranks shall not exceed six years of full-time academic service, unless the tenure clock has been tolled as provided in this subparagraph. Not later than August 31st of the last academic year of the maximum probationary period in effect at any Component, a tenure track faculty member shall be given written notice that the subsequent academic year will be the terminal year of employment or that, beginning with the subsequent academic year, tenure will be granted. In the event that the employment of a tenure track faculty member is to be terminated prior to the end of the maximum probationary period, notice shall be given in accordance with Subparagraph 4.5 below. Faculty members who have not been granted tenure by the Board of Regents shall not be entitled to tenure by virtue of being employed at the Component past the probationary period, i.e., such faculty members do not have de facto tenure.

4.241 Tolling of Tenure Clock. A Component may permit a tenure track faculty member to toll the tenure clock—that is, exclude not more than two academic years of countable service toward tenure—in order to accommodate one or more of the following exigencies or hardships: (a) Childbirth or adoption; (b) Dependent care (including children, parents, spouses, or other dependents); (c) The faculty member’s own illness or other personal emergency; and/or, (d) The inability of the institution to provide agreed upon facilities for the faculty member’s research.
4.242 Timing of Request. The request to toll shall, to the extent possible, occur prior to the occurrence of the event(s) stated in Subparagraph 4.241 and, in any case, within one year of the event(s). Requests made after the Component provides written notice of commencement of the promotion and/or tenure review process will not be honored.

4.243 Faculty Member’s Obligations. Per Subparagraph 4.242, the faculty member shall notify his or her chair and dean and make a written request to the chief academic officer to toll up to two years of service on the tenure clock, clearly explaining the basis(es) for the request—namely, why the exigency or hardship prevents or significantly impedes the faculty member’s ability to make progress toward achieving tenure; stating the estimated duration of both the exigency or hardship and the tolling period requested; and providing such supporting documentation as the Component may require.

4.244 Chief Academic Officer’s Obligations. The chief academic officer shall notify the faculty member, the chair/director, and the dean, and submit his or her recommendation to the System Vice Chancellor for Academic and Health Affairs (VCAHA) for his or her decision. The recommendation shall include the faculty member’s date of hire; process used to decide to request extension (such as executive committee approval or department chair recommendation); rationale to exclude the requested period of countable service; other facts or documentation relevant to the case; and the date by which the faculty member will be reviewed for tenure if the extension is approved.

4.245 Two Year Limitation. The total time excluded from countable service under this policy is two years (for example, a faculty member who tolls or excludes one year for childbirth or adoption and one year for dependent care has reach the maximum).

4.246 No Property Right Created. The tolling of the tenure clock under this policy lies within the sole discretion of the Component administration, subject to the VCAHA’s approval, and creates no property right, contractual or other legal entitlement in a member of the faculty. The administration may deny a request when, in its judgment, the needs and best interests of the Component, its academic units, and/or its students so require; provided, that this policy shall not be applied in violation of Component or System non-discrimination policies.

4.247 Tenure and Promotion Criteria Unaltered. Chairs/directors, deans, and chief academic officers shall ensure
that all faculty members, tenure and promotion or other 
reviewing committees, and outside letter writers are 
informed that the criteria for tenure do not change when 
service has been excluded from a faculty member’s 
probationary period.

4.25 Calculating Service. For purposes of calculating the period of 
probationary service, an “Academic year” shall be the approximate 
ine-month period from September through May as designated in 
the common calendar established by the Texas Higher Education 
Coordinating Board. One year of probationary service is accrued 
by at least nine months full-time academic service during any 
academic year, regardless of whether contracted on an annual basis 
or for a consecutive fall and spring semester. A faculty member 
shall be considered to be on full-time academic service if in full 
compliance with Board standards pertaining to minimum faculty 
workloads at general academic universities. If a faculty member is 
initially appointed during an academic year, the period of service 
from the date of appointment until the beginning of the following 
academic year shall not be counted as academic service toward 
fulfillment of the maximum probationary period.

4.26 Non-tenured Faculty. No non-tenured member of the faculty 
should expect continued employment beyond the period of current 
appointment as approved by the Board of Regents. Any 
commitment to employ a non-tenured member of the faculty 
beyond the period of current appointment shall have no force and 
effect until approved by the Board. Non-tenured members of the 
faculty serve at the pleasure of the Component President and the 
Board, subject to the provisions of proper notice as required by 
these Rules and Regulations.

4.27 Non-reappointment and Denial of Tenure. A non-tenured faculty 
member, who is notified of non-reappointment in accordance with 
Subparagraphs 4.14 or who is notified in accordance with 
Subparagraphs 4.24 that tenure has been denied and that the 
subsequent academic year will be the terminal year of 
appointment, shall not be entitled to a statement of the reasons 
upon which the decision for such action is based.

4.28 Performance Reviews. Components shall develop and publish 
campus-specific faculty performance review policies.

4.281 Annual Review Policies. Each Component shall develop 
campus-specific annual review policies for non-tenured 
faculty members.

4.282 Performance Review of Tenured and Other Faculty. Each 
Component shall develop campus-specific post tenure 
policies and procedures to determine whether a tenured 
faculty member is performing consistently at an 
acceptable professional level as well as a mechanism 
whereby a faculty member is informed of any
deficiencies and provided opportunity to improve his or her performance. Such policies and procedures shall be consistent with the tenure policies of this Chapter and Education Code, Section 51.942 and shall accord faculty members fundamental due process, including the opportunity for referral of a termination based upon evaluation to non-binding alternative dispute resolution, and a right of appeal in accordance with existing Component and Board policy.

4.3 Promotion.

4.31 Discretionary Nature of Promotion. The academic promotion of a faculty member is discretionary on the part of the President of the Component, the Chancellor and the Board of Regents. Faculty members do not have an entitlement to a prospective promotion rising to the level of a property interest, and the denial of a prospective promotion is not sufficiently stigmatic to constitute a liberty interest. No commitments, implied or otherwise, shall be made by any individual regarding faculty promotions without the prior written approval of the President, and all faculty promotions shall be subject to the approval of the Chancellor and Board of Regents. Faculty members who are not recommended for promotion shall not be entitled to a statement of reasons for the decision against the recommendation. However, supervisors are encouraged to offer suggestions for a program of professional development in teaching, scholarly or creative work, and leadership or service that may enhance the likelihood of promotion in the future.

4.32 Guidelines. The President of each Component shall develop minimum expectations and guidelines to be used in the evaluation of faculty for promotions, salary increases, reappointments, and tenure. Such guidelines shall include but not be limited to:

(1) Teaching in the classroom, laboratory, or seminar room;
(2) Studying, investigating, discovering, and creating;
(3) Performing curricular tasks auxiliary to teaching and research, e.g., serving on faculty committees, attending to administrative and disciplinary tasks, and promoting diligence and honest work in the student body;
(4) Advising and counseling of students, including the posting or publishing of office hours in such a manner as may be required by the President;
(5) Influencing beneficially students and citizens in various extracurricular ways; and,
(6) Patents or commercialization of research, where applicable.
Within the guidelines, a faculty member becomes eligible for promotion by meeting or exceeding standards of performance although such eligibility shall not entitle him or her to a promotion.

4.4 Faculty Grievances of Non-renewal or Termination of Employment.

4.41 Faculty Member Defined. For purposes of this Paragraph, “faculty member” means a person employed full-time by a System Component as a member of the faculty, including professional librarians, whose duties include teaching, research, administration, or the performance of professional services. It does not include a person who holds faculty rank but spends the majority of his or her time engaged in managerial or supervisory activities, including a Chancellor, President, Provost, Vice President, Associate or Assistant Vice President, Dean, Associate or Assistant Dean.

4.42 Grievable Issues. A faculty member may present a grievance, in person, to a System Component’s President on an issue related to non-renewal or termination of the faculty member’s employment at the end of his or her contract period.

4.43 Termination Prior to End of Contract Period. A faculty member, whose employment is terminated prior to the end of his or her contract period, shall be entitled to invoke the full due process procedures provided to tenured faculty under Paragraph 4.5 of this Chapter.

4.44 Grievance Process. The President shall designate a member of his or her administration as a hearing officer to consider grievances under this Chapter.

4.441 No later than thirty (30) business days after the grievant learns (or in the exercise of reasonable care should have learned) of the action or condition giving rise to the grievance, he or she shall file the grievance on a form prescribed by the Component, providing supporting documentation, if any.

4.442 The hearing officer will meet with the grievant at a mutually convenient time to review any documentation or other evidence that the grievant may present in support of his or her position.

4.443 The hearing officer may not recommend changing the administration’s action regarding non-renewal or termination of employment unless the faculty member establishes a prima facie case—that is, presents evidence sufficient to establish a claim in the absence of rebuttal by the Component—that he or she has been denied a right guaranteed by the constitutions or laws of the United States or of the State of Texas.
4.444 If he or she finds that the grievant has established a *prima facie* case, the hearing officer shall determine whether the administration has stated a non-discriminatory reason for its decision and so advise the President.

4.445 The President shall make the final decision regarding the grievance.

4.45 Not a Due Process Proceeding. A grievance under this Paragraph is not a due process hearing, requiring the formalities specified in Paragraph 4.5 of this Chapter.

4.46 Component Procedures. A Component may not establish procedures that expand or contract the rights granted or materially alter processes described in this Paragraph. To the extent Component procedures conflict with the procedures in this Paragraph, the latter shall prevail. Existing Component policies on this subject matter are hereby revoked.

4.5 Termination and Due Process Procedures.

4.51 Grounds. Termination by a Component of the employment of a tenured faculty member and of all other faculty members before the expiration of the stated period of their appointment, except by resignation or retirement, will be only for good cause shown.

Good cause includes but is not limited to the following:

1. Failure to work efficiently or effectively;

2. Insubordination;

3. Serious professional or personal misconduct, examples of which include:

   a. Commission of a misdemeanor involving moral turpitude, or a felony;

   b. Failure to secure and maintain Federal, State, or local permits required in the discharge of teaching, research, or other professional duties, including failure to maintain appropriate documentation;

   c. Willful destruction of Component property or violent disruption of the orderly operation of the campus;

   d. Violation of the System’s ethics policy (*Chapter VIII* of these *Rules and Regulations*), including acceptance or solicitation of gifts that might tend to influence the discharge of one’s professional responsibilities;
(e) Stealing and publishing as one’s own the intellectual property of another;

(f) Misuse or misappropriation of state property, resources, funds, including funds held by a faculty member as part of official duties;

(g) Sexual harassment, as defined by Subparagraph 4.4 of Chapter VII of these Rules and Regulations; and,

(h) Racial harassment as defined by Subparagraph 4.3 of Chapter VII of these Rules and Regulations.

(4) Professional incompetence and/or neglect of professional duties;

(5) Mental or physical disablement of a continuing nature adversely affecting to a material and substantial degree of the performance of duties or the meeting of responsibilities to the institution, or to students and associates;

(6) Illegal use of drugs, narcotics, or controlled substances. A faculty member who, by a preponderance of the evidence, under these Rules and Regulations, is found to have illegally possessed, used, sold, or distributed any drug, narcotic, or controlled substance, whether the infraction is found to have occurred on or off campus, shall be subject to termination, suspension or other discipline as determined by the President or the President’s designee. That an employee is charged in a criminal case, or is found “not guilty” therein, shall not be construed as prohibiting administrative enforcement of these Rules and Regulations. If, in the judgment of the President or the Board of Regents, the best interests of the students or the Component or the System so dictate, the employee may be immediately removed from contact with students and other employees, pending resolution of disciplinary proceedings; and,

(7) Intentionally or knowingly violating any Board or administrative order, rule, or regulation, including the provisions of Chapter V, Subparagraph 2.134 of these Rules and Regulations. The employee is presumed to have knowledge of such Board or administrative order, rule, or regulation that is published in these Rules and Regulations or is a published policy of the Component.

4.52 Suspension. A President may, for good cause, suspend an accused faculty member pending immediate investigation or speedy hearing as hereinafter provided when the continuing presence of the faculty member poses a danger to persons or property or an ongoing threat of disrupting the academic process. An employee
who is suspended or discharged from a particular duty or job at the Component may be suspended or discharged from all other duties or jobs in the Component for the same or other good cause. The President shall, as soon as possible, notify both the Chancellor and the Vice Chancellor and General Counsel of any such actions.

4.53 Summary Dismissal. In cases of good cause where the facts are admitted by the faculty member, summary dismissal may follow.

4.54 Hearing Tribunal. In all cases where the facts are in dispute, the accused faculty member shall be informed in writing of the charges which, on reasonable notice, will be heard by a special hearing tribunal whose membership, including its chair, shall be appointed by the President from members of the faculty whose academic rank is equal to or higher than that of the accused faculty member. At such a hearing:

(1) The hearing tribunal shall not include any accuser of the faculty member. The faculty member may challenge the alleged lack of fairness or objectivity of any tribunal member, provided such challenge is made prior to the submission of any evidence to the tribunal. The faculty member shall have no right to disqualify such member from serving on the tribunal. Each such challenged member shall determine whether he or she can serve with fairness and objectivity in the matter. In the event the challenged member chooses not to serve, the President shall appoint a substitute.

(2) The faculty member shall have a right to attend the hearing; confront and cross-examine adverse witnesses; present relevant evidence on his or her own behalf; testify or choose not to testify; and, be assisted or represented by counsel. The hearing shall be closed although the faculty member may request that it be open to the public. Notwithstanding a faculty member’s request, the tribunal may close all or a portion of a hearing to deliberate or if it appears likely that privacy interests of others are relevant and could be affected by an open hearing.

(3) The Component, through a representative and/or through counsel, shall have the right to attend proceedings; present witnesses and evidence against the faculty member; and, cross-examine the faculty member (if the faculty member testifies) and his or her witnesses.

(4) The hearing tribunal, by a majority of the total membership, shall make written findings on the material facts and a recommendation of the continuance or termination of the faculty member’s tenure as well as any supplementary suggestions it may have concerning the case. The original of such findings, the recommendation, any supplementary suggestions, and the record of the
hearing shall be delivered to the President and a copy thereof sent to the faculty member. Any minority findings, recommendations, or suggestions shall be distributed in the same manner.

(5) A stenographic or electronic record of the such record shall be made accessible to the faculty member.

4.55 Review by President. The President shall review the record, plus any additional written briefs the parties wish to submit, and render a decision, stating his or her reasons therefore in writing and communicating the same to the faculty member. The President may recommit the matter to the same tribunal to hear additional evidence and/or to reconsider its findings, recommendations, or suggestions, if any. The original findings, recommendations, and suggestions of the hearing tribunal, a transcript of the hearing, any briefs submitted, and the decisions, recommendations, findings, and suggestions of the President shall be delivered to the Board.

4.56 Appeal to the Board. Upon written request by the faculty member, received in the System Administration Office within thirty (30) calendar days of the faculty member’s receipt of the President’s decision, the Board shall review the record before it. Such request should specifically address any defects in procedure or substance which require reversal of the President’s decision. The President may submit a written response to the request for review. By a majority of the total membership, the Board may approve, reject, or amend any decisions, findings, recommendations, and suggestions before it, or recommit the matter to the President for reconsideration or the hearing of additional evidence. The Board shall notify the faculty member in writing of the reasons for its decision.

4.6 Termination of Faculty Employment Under Special Circumstances. If, in the judgment and discretion of the Board, reductions in legislative appropriations for faculty salaries; governmentally mandated reductions in faculty positions; significant loss of enrollment; consolidation of departments or other reorganization; dropping of courses, programs, or activities for educational or financial reasons; or financial exigency make such action advisable, the employment of a faculty member who has been granted tenure or of any other faculty member before the expiration of the stated period of his or her employment, may be terminated in accordance with the provisions of this Subparagraph.

4.61 A faculty member whose employment will be recommended for termination under this Subparagraph 4.6 shall be given:

(1) a statement of the basis for the decision to terminate the faculty member’s employment, together with a description of the manner in which the recommendation of termination was made;
(2) access the information and data upon which the recommendation was based; and,

(3) an opportunity to respond consistent with the requirements of due process.

4.62 In cases involving the termination of faculty employment under the provisions of this Subparagraph, the guidelines to be used to identify faculty members in a designated program whose employment will be recommended for termination shall include the following:

(1) Whenever possible, faculty reduction will be accomplished through attrition;

(2) Within a designated program, the termination of the employment of a faculty member with tenure may not be recommended in favor of retaining a faculty member without tenure unless:

(a) The removal of a non-tenured faculty member would eliminate an essential part of a program or render a program dysfunctional; or,

(b) The removal of a non-tenured faculty member who is deemed to be of equal or greater merit than a tenured faculty member would jeopardize the advances achieved by the Component under its diversity program.

4.63 A faculty member recommended for termination under the provisions of Subparagraph 4.6 should be given the opportunity for appointment in a related area provided: (a) the faculty member is qualified professionally to teach in such area or is willing to undergo the appropriate professional retraining that will qualify him or her to do so; and (b) a position is available.

4.64 A faculty member whose position has been terminated will be given first consideration for rehiring, should the position be re-established within a three-year period.

4.65 The President of each Component shall develop and publish in the Component’s faculty handbook the Component’s policy regarding termination of employment under Subparagraph 4.5, subject to the reviews and approvals specified in these Rules and Regulations.

4.7 Rights and Responsibilities as a Teacher and as a Citizen.

4.71 Classroom. The faculty member is entitled to freedom in the classroom in discussing the faculty member’s subject but should be judicious in the use of controversial material in the classroom and should introduce such material only as it has clear relationship to the subject field.
4.72 Research and Publication. The faculty member is entitled to freedom in research and in the publication of the results in accordance with responsible academic and professional practices.

4.73 Licenses and Permits. The faculty member shall be responsible for securing and maintaining any and all federal, state, and local licenses and permits required for his or her classroom, research, or other professional activities.

4.74 Speaking as a Citizen. The faculty member is a citizen, a member of a learned profession, and an employee of an educational component supported by the State. When the faculty member speaks or writes as a citizen, the faculty member should be free from Component censorship or discipline; but, the faculty member’s special position in the community imposes special obligations. As a person of learning and a faculty member of a state funded educational component, the faculty member should remember that the public may judge his or her profession and Component by his or her utterance. Hence, the faculty member should at all times be accurate, exercise appropriate restraint, and should show respect for the opinions of others.

4.75 Partisan Political Activities. The Board of Regents recognizes and affirms a faculty member’s right to participate in political activities as long as such political activities do not interfere with the discharge of the duties and responsibilities that a member of the faculty owes to the System or a Component or otherwise involve the System or a Component in partisan politics. If, in the President’s or Board’s judgment, the interest of the System or a Component so require, they may grant a leave of absence without pay to a member of the faculty. If a member of the faculty, who has not been granted a leave of absence, wishes to engage in political activity that interferes with the discharge of the duties and responsibilities that are owed to the System or a Component, the faculty member should voluntarily terminate his or her employment with the Component. If the faculty member does not voluntarily terminate his or her employment and the President or the Board finds that the faculty member’s political activity interferes with the discharge of the duties and responsibilities that are owed to the System or a Component, the President or the Board shall terminate such faculty member’s employment by the Component.

4.76 Non-competitive use of employee-owned courseware. (See Chapter III, Paragraph 11.6 of these Rules). Courseware developed by an employee without specific direction or significant support of the Component institution shall not be sold, leased, rented, or otherwise used in a manner that competes with the instructional offerings of his/her own Component without the prior written approval of the chief academic officer of the Component. Should approval be granted to offer the course, course Components, or instructional support materials outside of the
institutions, the employee shall reimburse the Component for any use of its resources.

4.8 Terms and Conditions of Employment.

4.81 Faculty Development Leaves. The Board of Regents authorizes each President to implement a Faculty Development Leave Program pursuant to the provisions of Texas Education Code, Chapter 51, Subchapter C and approval of the Chancellor.

4.82 Absences. The following regulations, pertaining to faculty absences, authorized and unauthorized, are established for each Component and have been filed with the Texas Higher Education Coordinating Board as required by the Texas Education Code, Section 51.108. Each Component President is delegated authority to promulgate policies to implement the provisions of this Subparagraph, including the reporting of faculty absences and the granting of such sick leave, emergency leave, and/or other leave as may be authorized by statute or the General Appropriations Act. Component policies shall make provisions for the following:

4.821 Authorized Absences. A faculty member employed by a Component must discharge faithfully instructional duties and other responsibilities associated with faculty appointment, including the meeting of all scheduled classes. Absences from classes will be authorized only under the following conditions:

(1) Professional meetings when, in the judgment of the President or his/her designee, attendance at such a meeting would contribute to the improvement of teaching or scholarship at the Component;

(2) Personal or immediate family illness;

(3) Family emergencies;

(4) Specific assignments of the President of short duration (the Board of Regents discourages specific assignments which will cause a faculty member to be absent from assigned classes);

(5) Special circumstances where the President considers such absences to be for valid reasons and in the best interest of both the faculty member and the Component.

4.822 Unauthorized Absences. Unauthorized absences on the part of the faculty member are not permitted. Each Component shall regard such absences as a violation of the terms of the faculty member’s appointment.
4.83 Outside Employment. The President of each Component shall approve and incorporate in the faculty handbook specific policies governing outside employment by all faculty members. These guidelines shall include but not be limited to the provisions and conditions of this Subparagraph.

4.831 Faculty members should not be discouraged from accepting appropriate appointments of a consultative or advisory capacity with governmental agencies, industry, or other educational institutions as long as such activities do not conflict with the individual’s work at the Component. The consideration to the System of such activity is the improvement of the individual through contact with the non-academic world. Faculty members should be discouraged from accepting regular employment outside the Component because such does not directly benefit the Component as indicated herein.

4.832 Conflict of interest must be avoided in all instances of outside employment. Conflict of interest means any outside activity which intrudes upon the faculty member’s responsibility to the Component. See Subparagraph 2.4 of this Chapter and Chapter VIII (Ethics Code).

4.833 No member of the faculty engaged in outside remunerative activities shall use in connection therewith the official stationery, supplies, equipment, personnel services, or other resources of the System or any of its Component universities. Nor shall such member of the faculty accept pay from private persons or corporations for tests, essays, chemical analysis, computer programming, bacteriological examinations, or other work of a routine character which involves the use of property owned by the System or its Components.

4.834 Every member of the faculty who gives professional opinions must protect the System and its Components against the use of such opinions for advertising purposes. That is, when work is done in a private capacity, the faculty member must make it clear to the employer that such work is unofficial and that, absent the President’s prior approval, the name of the System and its Components are not in any way to be connected with the faculty member’s name. Exceptions may be made for the name of the author attached to books, pamphlets, and articles in periodicals, and the identification of an individual in publications of corporations or companies related to service as a member of an advisory council, committee, or board of directors.

4.835 A faculty member (as defined in Subparagraph 1.11 of this Chapter) may not engage in any outside work or receive compensation from an outside source that creates a conflict of interest with the faculty member’s duties at the
Component. A conflict of interest includes the actions prohibited in Subparagraph 3.2 of Chapter VIII of these rules. The faculty member shall notify the President or his/her designee of such activity.

4.836 Reporting Requirements. Any faculty member who seeks to engage in remunerative employment or consulting outside of his or her primary employment relationship with the Component, shall notify and obtain written permission from the head of his or her department before beginning such outside employment or consulting. If his or her department head determines that the employment or consulting serves a public purpose and does not unreasonably interfere or conflict with the faculty member’s obligations or duties to the Component, the department head may authorize the employment or consulting.

4.84 Textbooks and Other Course Materials. Policies which govern textbooks and other materials prescribed for use by students will be specified for each Component in the faculty handbook for that Component.

4.841 Generally, the individual faculty member or the academic department should have wide discretion in the choice of materials to be used in the courses offered by the department with the approval by the chairman or head of the department. Although the authorship of books, outlines, manuals, and similar materials by members of the faculty should be encouraged, the prescribed use of these for students is a responsibility that goes beyond that of the individual author. Where practicable and equitable, the charge for outlines, syllabi, and similar materials prescribed for the use of students should be borne by the instructional department concerned. Whenever a charge is authorized for such copied materials, the prices should be as low as possible, consistent with the payment of a fair and reasonable royalty to the author or authors. This charge must be considered in conjunction with the a incidental course fees or charges” such that students are not charged more than once for the same material(s).

4.842 Textbooks, notebooks, manuals, or other materials for the use of students of a Component, written or prepared by a member of the faculty of that Component, shall not be prescribed for the use of or sold to such students until such books, notes, manuals, or materials shall have been approved, with reasons stated, by the department head and approved by the academic Vice President. All such requests shall indicate the proposed prices and profits, and their authorization shall be effective only to the end of the fiscal year (August 31) for which such approval has been given.
4.85 Acceptance of Money from Students. Faculty members shall not, without approval of the President or his/her designee, collect from students any fees or charges to be expended for Component purposes or sell to students books, notes, materials or supplies. Faculty of the rank of lecturer or above, and other instructional personnel as designated by the Component President, may not accept pay from students for extra instruction or teaching of students registered in the Component. With prior written approval of the President or his or her designee, instructional employees below the rank of lecturer may accept pay from students for extra-class instruction or coaching but only in courses or sections of courses with which they have no instructional connection. The faculty handbook of the Component shall specify the procedure for approval at the Component level.

4.86 Knowledge of These Rules & Regulations. Each faculty member shall become acquainted with these Rules and Regulations, Component policies and faculty handbooks, catalogues, announcements of courses, other official publications, and printed or other material regularly prepared for the use of the faculty. The President shall have copies of these Rules and Regulations, Component policies and faculty handbook available at the President’s office, the library, and other appropriate campus locations.

4.9 Honorary Titles and Emeritus Faculty.

4.91 Honorary Titles. Several honorary titles - Regents’ Professor, University Distinguished Professor, Emeritus (or distinguished emeritus) Status - recognize long and distinguished service.

4.92 Regents’ Professor. Upon the recommendation of the Chancellor, the Board of Regents, from time to time, may bestow the title of “Regents’ Professor” upon a very select number of tenured faculty members who have demonstrated the following:

(1) Excellence in teaching and exceptional dedication to students;

(2) National or international distinction and acclaim for academic achievement or scholarship; and,

(3) Notable contributions and commitment to their Component institutions and communities.

Upon retirement, a Regents’ Professor shall automatically receive Emeritus faculty status.

4.93 University (College or Institute) Distinguished Professor. The President of each Component may establish criteria to recognize, annually, as “University (College or Institute) Distinguished Professors,” a select number of outstanding professors or associate professors, who have achieved academic accomplishment and
stature that exceeds the criteria for the granting of tenure. Upon retirement, a University Distinguished Professor shall automatically receive Emeritus faculty status.

4.94 Emeritus (or Distinguished Emeritus) Status. The President of each Component is authorized to bestow the following titles upon retired or retiring faculty:

(1) Professor Emeritus, Distinguished Professor Emeritus, or similar honorific titles, provided that the faculty member holds the rank of professor and has served the Component, with distinction, at least ten years.

(2) Associate Professor Emeritus, provided that the faculty member holds the rank of associate professor and has served the Component, with distinction, at least fifteen years.

Except for Regents’ Professors and University Distinguished Professors, the conferring of emeritus status is not automatic upon retirement but shall be based upon individual distinction, exceptionally high quality service, and outstanding contributions to the Component which clearly demonstrate the individual’s worthiness for the honor conferred.

4.95 Privileges and Perquisites of Emeritus Status. Although Emeritus status constitutes continued academic appointment without remuneration or authority, holders of the title of “distinguished professor emeritus” or “distinguished associate professor emeritus” shall be accorded the following privileges and perquisites:

(1) Use of the title “distinguished professor emeritus” or “distinguished associate professor emeritus.”

(2) Membership (without vote) in the general faculty and in the college and department faculties in which membership was held at the time of retirement.

(3) Membership in the graduate faculty (without vote) if membership was held at the time of retirement.

(4) Eligibility for service on Component committees upon appointment by the President of the Component.

(5) Assignments of office space and use of laboratory facilities, when available, with the approval of the department head, dean of the college, and Provost and Vice President for Academic Affairs.

(6) Listing in the faculty directory and applicable publications.
4.96 Duration of Honorary Titles. The Board of Regents prefers and intends that honorary titles be held in perpetuity (for example, if a faculty member enjoying emeritus status is recalled to service in the interest of the Component after an intervening period, emeritus status is not affected); notwithstanding anything to the contrary in this Paragraph 4.9, conferring any such title shall not create a property right or entitlement in the holder. The Board reserves the right to revoke a title if, in its sole judgment and discretion, the best interests of the Texas State University System or of a Component warrant such action.

4.10 Miscellaneous Provisions.

4.10(1) Faculty Organizations. The President of each Component is authorized and encouraged to permit the faculty to organize and function in the form of representative faculty bodies in order that the faculty might effect greater utilization of its resources in the conduct of Component affairs.

4.10(11) General Authority. Subject to the ultimate authority of the Board of Regents and the delegated authority of the Component President or his or her designees, the faculties of the Components shall have an appropriate advisory role in the governance of their respective Components. Officially recognized faculty bodies shall have no existence separate and apart from the Component with which they are associated. This role may include but not be limited to the following:

1. General academic policies and procedures;
2. Student life and activities;
3. Requirements of admission and graduation;
4. Honors and scholastic performance generally;
5. Approval of candidates for degrees; and,
6. Faculty rules of procedure.

4.10(12) Faculty Minutes. Copies of Component faculty minutes, or those of their legislative bodies, shall be available for use of members of the particular faculties individually, if desired, and shall be filed in the office of their secretaries and a copy distributed to the offices of the Academic Deans, Academic Vice President, and President.

4.10(2) Recruitment and Resignation of Faculty Members. Mobility of faculty members among colleges and universities is rightly recognized as desirable in American higher education. Yet, the departure of a faculty member always requires changes within a
Component and may entail major adjustments on the part of the faculty member’s colleagues, the administration, and students in the faculty member’s field. Thus, each Component President shall establish procedures regarding the recruitment and resignation of faculty members. The standards set forth below are recommended:

(1) Recruitment Negotiations. Negotiations looking to the possible appointment of persons for the following fall semester who are faculty members of other universities in active service or on leave-of-absence and should be begun and completed as early as possible in the academic year and the appropriate other Component officers informed of such negotiations.

(2) Notification of Resignation. A faculty member should not resign later than May 15 or thirty days after receiving notification of the terms of continued employment for the following year, whichever date occurs later.

(3) Appointment Offer. To permit a faculty member to give due consideration and timely notice to his or her Component, an offer of appointment for the following fall at a Component should be made before May 1 whenever possible.

4.10(3) Retired Faculty. A full-time faculty member, who has retired from service from one of the Components in The Texas State University System and who held the title professor, associate professor, assistant professor, or instructor at the time of retirement, shall be accorded the following privileges and perquisites at such Component:

(1) A faculty identification card denoting previous academic rank and the designation “Retired”. In the case of holders of an emeritus title, the identification card shall denote the applicable emeritus title;

(2) Faculty library privileges;

(3) Use of Component dining services;

(4) Authority to purchase a faculty-staff activity card on the same basis as active faculty members;

(5) Parking privileges provided to active faculty members of the Component;

(6) Continued eligibility for Component group health and life insurance as provided by statute;

(7) Use of internal Component mail service and facilities; and,
(8) Other privileges for retired faculty approved by the President of the Component.

4.11 Sexual Misconduct. Faculty shall comply with the System’s “Sexual Misconduct” policy found in Chapter III, Paragraph 22 and Appendix A-6.

5. UNCLASSIFIED EMPLOYEES (EXCLUDING ADMINISTRATIVE OFFICERS) AND ALL CLASSIFIED EMPLOYEES.

5.1 Employment.

5.11 Hiring. The Board authorizes the President of the Component to hire all unclassified staff employees (exclusive of administrative officers), all classified staff employees, and other non-faculty personnel who are paid on a monthly or hourly basis. All employees hired under the authority of this Subparagraph shall serve without a fixed term and at the pleasure of the President.

5.111 All hiring shall be made on the basis of merit. The President of the Component may investigate the character, integrity, scholastic attainment, and other qualifications of prospective employees before hiring them or before exercising any delegated authority for hiring them.

5.112 As provided in the Constitution of the State of Texas, Article I, Section 4, and by statute, no religious qualification shall be required for appointment to any office or position connected with the System or any Component thereof.

5.113 There shall be full compliance with statutory provisions requiring notification to employees.

5.114 Each Component may require a pre-employment, post-offer physical examination of applicants to be employed in regular positions if the physical examination is required of all applicants for a particular job position. The expense of the examination will be paid by the Component.

5.12 Salaries. The salary of each employee covered by Subparagraph 5.11 of this Chapter shall be set by the President of the Component and in accordance with the approved budgets.

5.2 Terminations. The President of each Component shall have the authority to terminate at any time the employment of any employee covered by Subparagraph 5.11 of this Chapter.

5.3 Absences. The President of each Component shall adopt policies and guidelines covering the authorized absences for all personnel covered by Paragraph 5 of this Chapter. Such policies and guidelines shall be in
accordance with the provisions of current statutes and these Rules and Regulations (see Subparagraph 2.51 of this Chapter).

5.4 Outside Employment. The provisions and conditions for outside employment by all classified and unclassified staff employees, including administrative officers, shall be the same as those established for faculty members under Subparagraph 4.83 of this Chapter.

5.5 Acceptance of Money from Students. Administrative and staff employees shall not, without previous and special written approval of the Component administration, collect from students any fees or charges to be expended for Component purposes. Certain positions, such as cashiers and similar positions, may have this approval as part of their job descriptions. Acceptance of funds by Component employees, in any case, shall be only via official Component receipt mechanisms as approved by the Component’s chief fiscal officer.

5.6 Sexual Misconduct. Unclassified employees and all classified employees shall comply with the System’s “Sexual Misconduct” policy found in Chapter III, Paragraph 22 and Appendix A-6.

6. EMPLOYEE TRAINING.

The President of each Component is authorized to expend public funds for the training and education of its employees where the training or education is related to the current or prospective duty assignment of the employee. Any Component-specific written regulations governing such training and education shall be in accordance with the provisions of Texas Government Code, Sections 656.044 and 656.047.

6.1 Seminars and Workshops.

6.11 Employees may take time off from regularly assigned duties to participate in seminars, workshops or similar training events of limited duration if the employee’s supervisor determines that the seminar, workshop, or similar training events will enhance the employee’s job performance.

6.12 Subject to availability, funds may be expended for employee participation in seminars, workshops or similar training events of limited duration if the following conditions are met:

6.121 The employee’s supervisor has determined that the seminar, workshop, or similar event will enhance the employee’s job performance;

6.122 Reimbursable expenses incurred (i.e., attendance charges, tuition course-related materials, and travel expenses) are determined to be cost-effective;
6.123 Travel expenses will be reimbursed if the necessity of travel is justified (e.g., the training is not available through a local source);

6.124 The travel request was approved by the employee’s supervisor in advance of the training.

6.13 Travel expense reimbursement for seminars, workshops and similar training events must meet all applicable policies, rules and statutory provisions regarding travel by State employees.

6.2 Continuing Professional Education (CPE). Funds may be expended for continuing professional education required to maintain a professional license or certification for those positions which require such licenses or certificates and for positions in which licensure or certification is desirable. Employees in such positions may have time off from regularly assigned duties to satisfy CPE requirements. Expenditures for the training are subject to availability of funds.

6.3 College Courses. Subject to availability of funding, employees may be reimbursed for certain college courses if the following conditions are met.

6.31 The employee’s supervisor has determined that the course will enhance the employee’s job performance.

6.32 The course is taken in accordance with the Component’s written policies and appropriate written approval is obtained prior to enrolling in the course.

6.4 Training Subject to Subchapter D, Chapter 656, Title 6, Texas Government Code (Restrictions on Certain Training).

6.41 “Training” means instruction, teaching, or other education received by a Component employee that is not normally received by other Component employees and that is designed to enhance the ability of the employee to perform the employee’s job. The term includes a course of study at an institution of higher education if the employing Component spends money to assist the Component employee to meet the expense of the course of study or pays salary to the employee to undertake the course of study as an assigned duty. The term does not include training required either by state or federal law or that is determined necessary by the Component and offered to all employees of the Component performing jobs.

6.42 If an employee receives training, as defined in Subparagraph 6.41 of this Paragraph that is paid for by a Component, and during the training period the employee does not perform the employee’s regular duties for three or more months as a result of the training, then the employee must agree in writing before the training begins to:
6.421 Work for the Component following the training for at least one month for each month of the training period; or

6.422 Reimburse the Component for all the costs associated with the training that were paid during the training period, including any amounts of the employee’s salary that were paid and that were not accounted for as paid vacation or compensatory leave.

6.43 An employee may make a written request to the President of his or her Component to waive the requirements in Subparagraph 6.42 of this Paragraph and release an employee from the obligation to meet those requirements. Each President may authorize such a waiver if he or she finds that such action is in the best interest of the Component or is warranted because of an extreme personal hardship suffered by the employee.

6.44 If an employee does not provide the services required in Subparagraph 6.42 of this Paragraph, provides those services for less than the required term, or fails to make any required payments and is not released from the obligation, the employee is liable to the Component for the obligated amount and reasonable expenses incurred in obtaining payment, including reasonable attorney’s fees and other collection costs.