

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, as well as in The Texas State University System *Rules and Regulations*, Chapter V, section 4.282, Sam Houston State University (hereafter SHSU or University) has instituted a process for a standardized Performance Evaluation of Tenured Faculty (PETF). The values that shall govern the process of PETF are multiple:

- a. The process shall avoid any infringement on academic freedom.
- b. The major focus of the process shall be on maintaining standards of faculty performance.
- c. The process shall include sufficient appeals processes to ensure fairness.
- d. The process shall not threaten the essential institution of academic tenure.
- e. The process shall not be a re-tenure process.

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

1.02 The process of PETF at SHSU 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 the annual *Faculty Evaluation System for Tenured and Tenure-Track Faculty* (FES) process (see APS 820317);
- c. a specification of the steps for a process of a comprehensive performance evaluation of all tenured faculty members that shall take place every five (5) years;
- d. a specification of components of a Plan for Assisted Faculty Development (PAFD) to be used in cases of performance deficiencies as described in sections 2.07 and 2.08 of this policy and

- e. a specification of timelines for the various steps in the processes of the PETF and PAFD.

2. PERFORMANCE EVALUATION OF TENURED FACULTY (PETF)

- 2.01 The PETF performance standards shall be those developed by the tenure units in alignment with *The Faculty Evaluation System of Tenured and Tenure-Track Faculty* (APS 820317) and the requirements set forth in this policy. These standards shall be developed by the faculty at the department level, approved by the respective chair and academic dean, and retained on file in the Office of the Provost. The faculty member's annual FES documents specific to the period under review shall serve as the basis for the PETF. Faculty appeal of their FES Summary Report scores are governed by APS 820317.
- 2.02 Every tenured faculty member with less than a 0.5 FTE administrative appointment shall be given a PETF every fifth year after receiving tenure, a promotion, returning to a faculty position following an administrative assignment, or after a previous comprehensive performance evaluation. Faculty members who have taken FMLA leave for the entirety of more than one fall or spring semester shall have their quinquennial clock tolled for one (1) year.
- 2.03 The PETF shall normally begin with written notification by the chair to the faculty member by October 10 that the faculty member shall be reviewed in the current academic year (see Section 4 for full timeline). The focus of the PETF shall be on helping the faculty member meet expectations for performance in the conduct of professional duties.
- 2.04 A faculty member may request a PETF in any year. A voluntary PETF changes the schedule for subsequent quinquennial reviews so that if, for example, a PETF is requested in 2023, then the next quinquennial review shall be in 2028. The request for a PETF shall be conveyed to the chair by October 1 (for full timeline, see Section 4).
 - a. According to the PETF, tenured faculty members shall be reviewed by the Department Promotion and Tenure Advisory Committee (DPTAC) in their tenure unit. The DPTAC shall be an advisory body as defined in Section 7 of APS 900417, *Faculty Reappointment, Tenure, and Promotion of Tenured and Tenure-Track Faculty*. DPTAC members must be present to participate in the faculty member's review unless on faculty developmental leave or other approved leave.

- b. In cases when the DPTAC has fewer than four (4) tenured faculty members to conduct the review, the department chair and the faculty member under review shall each submit to the dean a list of three (3) names of tenured faculty members from other tenure units who are qualified to perform a review. The nominations shall be accompanied by documentation of the nominees' relevant qualifications. The dean shall appoint members from these lists until there are at least four (4) members of the DPTAC. If the need arises to replace a member of the committee, the dean shall follow the same procedure.
- 2.05 The PETF shall make use of FES and, when applicable, FES X records for the five (5) most recent calendar years. In addition to the FES and FES X documents, the faculty member under review may provide a CV and narratives that provide context to the documents and discuss accomplishments in teaching, scholarly and creative activities, service, patient care, and administration, as applicable. Faculty shall upload all relevant documents to the Faculty Information System.
- 2.06 A faculty member must achieve a minimum five-year average FES rating of three (3) for each of the following areas: teaching, scholarly and creative activities, and service, as well as patient care and administration, as applicable, to satisfy the PETF. The DPTAC shall review the faculty member's five-year average FES ratings in the Faculty Information System and certify, in writing to the chair, that the faculty member has met the minimum standard of performance. The chair shall independently verify the faculty member's five-year average FES ratings in the Faculty Information System as meeting the minimum standard provided above, notify the faculty member in writing as satisfying the PETF, and no further action shall be required. A copy of this written notification shall be sent to the dean and Provost.
- 2.07 Should the reviewed faculty member fail to receive a minimum five-year average FES rating of three (3) in any area of teaching, scholarly and creative activities, and service, as well as patient care and administration, as applicable, the DPTAC shall notify the chair in writing of this outcome, and the faculty member shall be required to complete a PAFD. The faculty member shall be notified of this outcome in writing by the chair to include documentation of any deficiencies in any area of evaluation, and a copy of this written notification shall be sent to the dean and Provost.

- 2.08 A faculty member found to be consistently unable to meet documented minimum standards of performance may be required by the DPTAC or chair to complete a PAFD. Such a deficiency is defined as an FES rating below three (3) in any single FES performance area, including FES 1, 2, 3, and 4 of *The Faculty Evaluation System of Tenured and Tenure-Track Faculty* (APS 820317) in two of the last three years. The faculty member shall be notified of this outcome in writing by the chair to include documentation of any deficiencies in any area of evaluation, and a copy of this written notification shall be sent to the dean and Provost.

3. PLAN FOR ASSISTED FACULTY DEVELOPMENT (PAFD)

- 3.01 The DPTAC shall perform a comprehensive review of the faculty member's performance and provide the department chair, in writing, with a recommended PAFD that in one (1) year shall have the best probability of remediating the performance deficiencies.
- 3.02 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 restore performance to that level.
- 3.03 Although each PAFD is tailored to specific circumstances, each plan shall:
- a. include clear, measurable, and individualized expectations to address deficiencies;
 - b. include benchmarks for progress within the one-year period;
 - c. require intermediate, observable milestones such as manuscript submissions, revisions, or grant activity in cases of deficiencies in scholarly and creative activity;
 - d. clarify that extensions beyond one year are based on documented progress toward benchmarks and must include updated goals and a defined review timeline; and identify reasonable institutional resources to be committed in support of the plan.

- 3.04 The chair and the faculty member shall sign the PAFD to indicate their agreement with the terms of the DPTAC's plan. If the chair and the faculty member are unable to come to agreement on the DPTAC's or a similar suitable plan, as negotiated by the faculty member and chair, they shall consult others including the dean, to reconcile their differences. If there is still no agreement, the faculty member shall be required to adhere to the PAFD as formulated by the DPTAC. A copy of the signed PAFD shall be shared with the dean and Provost.
- 3.05 The chair shall hold meetings with the faculty member to assess progress toward accomplishing the PAFD. A schedule of these meetings shall be agreed upon in advance.
- 3.06 When, in the determination of the chair, the faculty member has succeeded in restoring the faculty member's performance to an acceptable level by meeting the goals of the PAFD in a timely manner, the chair shall notify the faculty member, DPTAC, the dean, and the Provost in writing by May 1 of the year in which the PAFD is in place (for full timeline, see Section 4). The faculty member shall then become subject to the ordinary quinquennial comprehensive performance evaluation after the standard set interval.
- 3.07 The chair may choose to extend the time for completion of the PAFD for a maximum extension period of one (1) year. This extension period may exceed one year if extenuating circumstances arise (e.g., illness, death in family, etc.). The chair shall notify the faculty member, DPTAC, the dean, and the Provost of this decision in writing by May 1 of the year in which the PAFD is in place (for full timeline, see Section 4).
- 3.08 If, after seeking the opinion of the DPTAC, it is the judgment of the chair that the faculty member has failed to satisfy the PAFD, the chair shall so inform the faculty member, DPTAC, and dean in writing by May 1 of the year in which the PAFD is in place (for full timeline, see Section 4).
- 3.09 When informed by the chair that a faculty member has failed to satisfy the requirements of the PAFD, the dean shall review the reports of the DPTAC and chair. This review may include an examination of the faculty member's student evaluations, professional portfolio, personnel file, and any other information covering the period under consideration that the dean considers pertinent. The dean shall personally confer with the faculty member regarding the faculty member's performance under the PAFD, with the appropriate chair, and, if necessary, with the

DPTAC. Following the review, by May 15 the dean shall notify the Provost in writing an opinion as to whether the faculty member has successfully completed the PAFD. The faculty member, DPTAC, and chair shall be copied on this notification. The dean may recommend to the Provost any of several actions, including, but not limited to:

- a. restoring the faculty member to regular status;
- b. requiring another PAFD to be formulated; or
- c. instituting dismissal proceedings or other appropriate disciplinary action in accordance with The Texas State University System *Rules and Regulations*, and applicable law, if the faculty member's performance exhibits incompetency, neglect of duty (defined in Section 51.942 of the Texas Education Code as "continuing or repeated substantial neglect of professional responsibilities"), or other compelling cause.

3.10 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.

4. TIMELINES FOR THE PROCESSES INVOLVED IN BOTH THE PERFORMANCE EVALUATION OF TENURED FACULTY (PETF) AND THE PLAN FOR ASSISTED FACULTY DEVELOPMENT (PAFD)

(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 must 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

- October 1: Faculty member requests early evaluation [2.04].
- October 10: Chair sends written notification to faculty member subject to PETF.
- February 1: Faculty member submits all relevant documents for review via the Faculty Information System.
- May 1: DPTAC informs the chair, of the outcome of the faculty member's performance review.
- May 5: Chair informs the faculty member of the outcome of the faculty member's performance review.

If a PAFD [Section 3] is required, the following timelines shall be used:

- May 1: DPTAC reviews faculty member's performance and recommends a PAFD to the chair in writing.
- May 10: PAFD is signed by the faculty member and chair and sent to the dean and Provost.
- Fall Semester: PAFD process formally begins.
- May 1: Chair reviews PAFD status and provides written recommendation of successful completion of the PAFD, extension of time for the PAFD, or non-satisfactory completion of the PAFD.
- May 15: Dean reviews the chair's recommendation of the faculty member's failure to satisfy the PAFD and notifies the faculty member, chair, DPTAC, and Provost of the dean's PAFD evaluation recommendation.
- June 1: Provost responds to faculty member informing the faculty member of the Provost's decision with respect to the dean's recommendation and sends a copy of this notification to the chair and dean.

If extension of time for PAFD or continued PAFD is needed, the above timeline shall be followed.

APPROVED: <signed>
Alisa White, Ph.D., President

DATE: 8/27/2026

CERTIFICATION STATEMENT

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

Original: February 4, 1998

Review Cycle: Five years*

Reviewer: Academic Affairs Council

Review Date: Fall 2031

Approved: <signed>
Sumanth Yenduri, Ph.D.,
Provost and Sr. Vice President
for Academic Affairs

Date: 8/26/2026

*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.