**Development/Evaluation of AA/PPS No. 04.02.01**

**Tenure-Track Faculty Issue No. 2**

**Effective Date: 04/12/2018
Next Review Date: 05/01/2023 (E5Y)**

**Sr. Reviewer: Associate Provost**

**01. POLICY STATEMENTS**

01.01 The years preceding a tenure-track faculty member’s application for tenure and promotion constitute a probationary period. During this period, the faculty member's performance is carefully assessed for progress in meeting performance expectations for tenure and promotion. The purpose of this statement is to outline the review process used in this assessment. Supplementary policy and procedure statements are available within each college, department, or school and in the [Faculty Handbook](https://www.provost.txst.edu/resources-faculty.html).

01.02 Texas State University will not discriminate against any person in employment or exclude any person from participating in or receiving the benefits of any of its activities or programs on any basis prohibited by law, including race, color, national origin, age, sex, religion, disability, veterans’ status, sexual orientation, gender identity or expression. Equal employment opportunities shall include: personnel transactions of recruitment, employment, training, upgrading, promotion, demotion, termination, and salary.

01.03 This document describes the procedure and criteria for evaluation and reappointment of full-time, probationary faculty. The model described below is based on a typical full six-year tenure-track period. Formative reviews are conducted in all years. Summative reviews are required in at least the third and sixth years and are encouraged annually. The mid-term summative review for tenure-track faculty who have negotiated a shortened probationary period will be conducted at a time that is specified by the department chair or school director and the personnel committee. The time for this review should be stipulated when negotiating the initial contract or determined during the first year of the probationary period.

01.04 At least once each academic year, the chair or director should meet with each tenure-track faculty member to discuss relevant policy and procedure statements, explain departmental, college and university expectations, and provide information regarding requirements that tenure-track faculty must fulfill in order to qualify for annual reappointment and ultimately, for tenure and promotion. In each review, the chair or director will provide constructive feedback, communicate strengths as well as concerns about the tenure-track faculty member’s performance, describe expectations for appropriate documentation and evidence of progress, and note that failure to improve might jeopardize continuing employment, as well as tenure and promotion at the university.

01.05 Tenure-track faculty should be advised that evaluations are derived from teaching as well as scholarly and service activities documented in the university’s [Faculty Qualifications System](http://facultyqualifications.its.txstate.edu/) using the Texas State vita format.

**02. FIRST-YEAR TENURE-TRACK FACULTY EXPECTATIONS**

02.01 In the first contract year, effectiveness in the classroom (e.g., mastery of the subject matter, the ability to communicate with students, and the ability to create a classroom environment conducive to learning) is crucial to successful progress toward tenure. The chair or director and experienced faculty are responsible for ensuring that first-year tenure-track faculty members receive as much guidance as may be necessary.

02.02 The chair or director, assigned mentors, and members of the department or school personnel committee should observe the first-year tenure-track faculty member's performance in the classroom at least three times during the academic year to assess their strengths and weaknesses as a teacher, giving particular attention to classroom environment and interaction between teacher and students. [AA/PPS No. 02.03.01, Conduct and Planning of Courses](http://policies.txstate.edu/division-policies/academic-affairs/02-03-01.html), [AA/PPS No. 02.03.02, Conduct of Classes](http://policies.txstate.edu/division-policies/academic-affairs/02-03-02.html), and [AA/PPS No. 02.03.20, Maintenance and Improvement of Quality in Teaching](http://policies.txstate.edu/division-policies/academic-affairs/02-03-20.html) serve as useful guides for chairs or directors and first- year tenure-track faculty members.

02.03 An equally important objective for a first-year tenure-track faculty member is to initiate research, creative and scholarly contributions such as articles in refereed journals, chapters in books, performances, books, grants, exhibitions, conference presentations, peer review of creative works, and effectively using start-up funding.

02.04 Although the first-year tenure-track faculty member’s priorities are excellence in teaching and the development of a scholarly agenda, he or she will also be expected to devote limited and targeted time and energy to university service at the department or school level, service to a professional organization, and community engagement.

**03. SECOND-YEAR TENURE-TRACK FACULTY EXPECTATIONS**

03.01 In the second-year, tenure-track faculty members should follow the first-year guidelines. In addition to teaching and scholarly and creative responsibilities, tenure-track faculty members should continue limited and targeted service. The chair or director and experienced faculty mentors should monitor the second-year faculty member’s progress through informal dialogue and at least one classroom visitation. Student evaluations of teaching should be one of the factors in the personnel committee’s evaluation. In addition, progress on research projects and creative and scholarly work should be included in the committee’s evaluation.

**04. PROCEDURES FOR THIRD-YEAR REVIEW**

04.01 During the third-year, the regular, annual formative review is complemented with a summative review. The summative review is designed to assess the tenure-track faculty member's cumulative record as a teacher and scholar and to determine whether they have met institutional expectations. During the third-year, the chair or director should consult with tenure-track faculty members regarding their past and present performance. The consultation will provide an opportunity for the chair or director to identify the faculty member’s strengths, suggest ways to overcome any concerns or weaknesses, and provide expectations on the documentation needed for the third-year review. The reappointment decisions should be based largely upon the faculty member's ability and willingness to:

a. stimulate students' intellectual curiosity, communicate effectively with students in lectures, studio situations and conferences, and provide current student evaluations showing evidence of high quality teaching along with evidence of student achievements (e.g., outstanding research projects, noteworthy creative endeavors, awards, honors, and other evidence);

b. provide evidence of peer-reviewed scholarly and creative activity as specified by department or school policy, which may include major research projects, performances and productions, books or published monographs, journal articles, major works, exhibitions, external and internal funding activity, and the development of laboratory or field research;

c. provide materials showing evidence of the targeted service and leadership endeavors; and

d. maintain harmonious effective working relationships with colleagues.

04.02 The department or school personnel committee’s recommendation to renew, not to renew, or to terminate a tenure-track faculty member’s contract should be founded on evidence regarding teaching, scholarship, and service, including effective working relationships with colleagues. The decision is directly related to the faculty member’s satisfactory progress toward meeting criteria for tenure and promotion at this midpoint of the probationary period. After reviewing the department or school personnel committee's recommendation on each faculty member undergoing third- year review, the chair or director will forward that recommendation along with the chair's or director’s recommendation to the college dean. The packet submitted by the chair or director may include copies of evaluative letters from any faculty colleagues, copies of letters from the chair or director to the faculty member regarding the results of the department's or school's annual reviews and third-year review, and other appropriate materials regarding the faculty member's performance.

04.03 The college dean will review the recommendation of the department or school personnel committee and chair or director and will make his or her own recommendation to renew, not to renew, or to terminate a tenure-track faculty member's contract. The dean will then forward all recommendations on faculty undergoing third-year review to the provost and vice president for Academic Affairs.

The college dean's recommendation to the provost and vice president for Academic Affairs should indicate what materials were reviewed by the dean and should include copies of letters from the chair or director to the probationer regarding the results of the department’s or school's annual reviews and department, school, and college's third-year review.

04.04 An unsatisfactory third-year review typically leads to termination of employment.

**05. PROCEDURES FOR FOURTH- AND FIFTH-YEAR REVIEWS**

05.01 In the fourth contract year, faculty members must demonstrate sustained growth and development in their research and scholarly and creative records along with successful teaching and service.

05.02 In the fifth year, the chair or director and department or school personnel committee should assess the faculty member’s progress and development in the key areas previously identified (teaching, scholarly and creative activity, and service) with a continuing emphasis on excellence. The chair or director, as well as any assigned mentor or other party, is expected to advise tenure-track faculty members concerning the assembly of required documents for the upcoming mandatory tenure deliberations. The candidate, along with the chair or director, are responsible for accurate and complete documentation in each candidate’s file.

**06. PROCEDURES FOR SIXTH-YEAR REVIEW**

06.01 In the sixth contract year, tenure-track faculty members must document the development and maintenance of excellence in teaching, scholarly and creative endeavors, and service. In preparation for the tenure review, tenure-track faculty members should assemble the documentation and materials required in [AA/PPS No. 04.02.20, Tenure and Promotion Review](http://policies.txstate.edu/division-policies/academic-affairs/04-02-20.html) and by department or school and college policies.

06.02 Further information about the tenure review process may be found in [AA/PPS No. 04.02.20, Tenure and Promotion Review](http://policies.txstate.edu/division-policies/academic-affairs/04-02-20.html), Chapter V, [Regents Rules and Regulations](http://gato-docs.its.txstate.edu/jcr%3Acadb6c26-5fbc-4e8d-87df-da945380ffdd/Rules%20Regs%20May%202017.pdf), Sections 4.2 and 4.7 and the section on academic tenure in the [Faculty Handbook](https://www.provost.txst.edu/resources-faculty.html).

**07. PROCEDURES FOR WRITTEN FEEDBACK FOR TENURE-TRACK FACULTY**

07.01 In each year of the probationary period, with the exception of faculty who are not reappointed, the chair will provide a written performance review to all faculty members on tenure-track. This annual review should be made available to tenure-track faculty members prior to the notification deadline for reappointment (with copies to the appropriate dean and the provost). Final evaluation forms, signed by the associate provost, are sent to the dean’s office. The dean’s office is responsible for distributing copies to each chair or director in the college, to be placed in the faculty member’s file. A copy that includes comments by the dean or associate provost will be provided to the faculty member.

08. DEADLINES AND REPORTING PROCEDURES

08.01 The deadlines and reporting procedures related to the policies outlined above are listed in the [Calendar for Evaluation and Reappointment of Tenure-Track Faculty](https://facultyresources.provost.txstate.edu/resources/calendars.html) and [Reappointment of Untenured Continuing Tenure-Track Faculty form](http://gato-docs.its.txstate.edu/provost-vpaa/office-pps-files/pps8/PPS8-01AttB.Doc).

**09. REVIEWER OF THIS PPS**

**09.01 Reviewer of this PPS includes the following:**

**Position Date**

**Associate Provost May 1 E5Y**

**10. CERTIFICATION STATEMENT**

This PPS has been reviewed by the following individuals in their official capacities and represents Texas State Academic Affairs policy and procedure from the date of this document until superseded.

Associate Provost; senior reviewer of this PPS

Provost and Vice President for Academic Affairs