



# University of North Texas System

---

## Board of Regents

### Schedule of Events for Board of Regents Meeting

**November 6, 2023**

University of North Texas Frisco Branch Campus  
Frisco Landing – Room 130  
12995 Preston Rd.  
Frisco, Texas 75033

The University of North Texas System Board of Regents will meet on Monday, November 6, 2023, from 8:30 am until approximately 4:00 pm. Agenda items are scheduled to follow each other consecutively and may start earlier or later than the posted time depending on the length of the discussions and the reports of previous items. Please note that the estimated times given in the posting are only approximate and may be adjusted as required with no prior notice.

Any members of the Board may attend committee meetings. Because some Board members who are not committee members may attend committee meetings and thereby create a quorum of the full Board, committee meetings are also being posted as meetings of the full Board.

Meetings will take place at the University of North Texas, Frisco Branch Campus. Please contact the Office of the Board Secretary with any questions at 214.752.5533.

**8:30 am      CONVENE FULL BOARD**

**RESOLUTION IN COMMEMORATION OF  
THE HONORABLE MARY CRAVER DENNY**

**8:35 am      CHANCELLOR'S REMARKS**

**8:40 am      UNT SYSTEM CAMPUS UPDATES**

- Michael McPherson, UNT, Provost
- Sylvia Trent-Adams, HSC, President
- Bob Mong, UNT Dallas, President

**9:00 am      SPOTLIGHT ON STUDENTS**

**9:30 am      RESOLUTION OF APPRECIATION**

**10:00 am RECESS TO EXECUTIVE SESSION (RM 420)**

Government Code, Chapter 551, Section .071 - Consultation with Attorneys Regarding Legal Matters or Pending and/or Contemplated Litigation or Settlement Offers

- Consultation with counsel regarding confidential legal matters, including pending, threatened, and contemplated litigation or settlement offers, and possible action
- Consultation with counsel regarding contemplated, ongoing and/or finalized investigations and any findings, conclusions or recommendations related to those investigations.

Government Code, Chapter 551, Section .072 - Deliberation Regarding Real Property

- Deliberation regarding the purchase, exchange, lease, or value of real property

Government Code, Chapter 551, Section .073 - Deliberation Regarding Prospective Gifts

- Deliberation regarding a negotiated contract for a prospective gift or donation.

Government Code, Chapter 551, Section .074 - Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Discipline, or Dismissal of Officers or Employees

- Consideration of individual personnel matters related to the appointment, employment, evaluation, reassignment, discipline and dismissal of System and Institution officers or employees.
- Consideration of individual personnel matters related to the employment agreement for the Executive Director for the HSC Institute for Translational Research, and possible action.
- Consideration of individual personnel matters related to the performance evaluation of the Chief Audit Executive.

Government Code, Chapter 551, Sections .076 and .089 - Deliberations Regarding Security Devices or Security Audits

- Consideration of matters related to security assessments or deployments relating to information resources technology, network security information, and the deployment, or specific occasions for implementation, of security personnel, critical infrastructure, or security devices, or a security audit.

*Recess for lunch*

**12:00 pm LUNCH**

**1:00 pm RECONVENE FULL BOARD AND RECESS FOR COMMITTEE MEETINGS**

*Consider action on Executive Session items, if any*

**1:05 pm AUDIT COMMITTEE**

**Call to Order**

- Approval of minutes of the August 17, 2023, Audit Committee meeting

**Briefings:**

*UNT System Administration Compliance Program Update*

- Renaldo Stowers, UNTS, Chief Compliance Officer

*Quarterly Report of Audit Activities*

- Donald Rickett, UNTS, Senior Director for Internal Audit

Adjourn Audit Committee.

**1:45 pm FINANCE COMMITTEE**

**Call to Order**

- Approval of minutes of the August 17, 2023, Finance Committee meeting

*Quarterly Financial Update*

- Susan Alanis, UNTS, Deputy Chancellor for Finance and Operations

Adjourn Finance Committee.

**2:00 pm STRATEGIC INFRASTRUCTURE COMMITTEE**

**Call to Order**

- Approval of minutes of the August 17, 2023, Strategic Infrastructure Committee meeting

**ACTION ITEMS:**

4. UNTS Approval of UNT System FY24 Capital Improvement Plan and Amendment to Project Budget of Inspire Park MEP & Interior Renovation

Adjourn Strategic Infrastructure Committee.

**2:15 pm RECONVENE FULL BOARD**

**CONSENT AGENDA**

1. UNTS Approval of the Minutes of the August 17, 2023, Board Meeting
2. UNT Approval of UNT Emeritus Recommendations
3. UNT Approval of Tenure for New UNT Faculty Appointee

**ACTION ITEMS**

4. UNTS Approval of UNT System FY24 Capital Improvement Plan and Amendment to Project Budget of Inspire Park MEP & Interior Renovation
5. UNTS Approval and Adoption of Tenure Policies for UNT, UNT Dallas, and UNT Health Science Center
6. UNTS Approval of Amendments to Regents Rule 06.1200, Dismissal and Revocation of Tenure

**2:30 pm PRESENTATION: BUILDING A TALENT STRONG TEXAS**

**4:00 pm ADJOURNMENT**



## MINUTES

### BOARD OF REGENTS Audit Committee August 17, 2023

The Audit Committee of the Board of Regents of the University of North Texas System convened on Thursday, August 17, 2023, at the University of North Texas at Dallas, Student Center, Campus Hall, Room 1050, 7300 University Hills Blvd, Dallas Texas, with the following members in attendance: Regents Melisa Denis, Lindy Rydman, and John Scott.

There being a quorum present, the meeting was called to order by Committee Chairman Melisa Denis. As the first order of business, the Committee considered the minutes of the May 18, 2023, Audit Committee meeting. Pursuant to a motion by Regent Lindy Rydman, and seconded by Regent John Scott, the minutes of the May 18, 2023, Audit Committee meeting were approved on a 3-0 vote.

The Committee had two briefings. The first briefing was a **Compliance Program Assessment Update** from Eric Groen, Managing Director with Protiviti. Next, the Committee received the **Quarterly Report of Audit Activities** from the UNT System Chief Audit Executive, Ninette Caruso.

The Committee had one action item for consideration as noted below:

#### **10. UNTS Approval of the Internal Audit FY24 Plan**

Pursuant to a motion by Regent Lindy Rydman, and a second by Regent John Scott, the item passed on a 3-0 vote.

There being no further business, the Committee meeting adjourned at 10:00 a.m.

Submitted By:

A handwritten signature in blue ink that reads "Rachel Barone".

Rachel Barone, Secretary  
Board of Regents

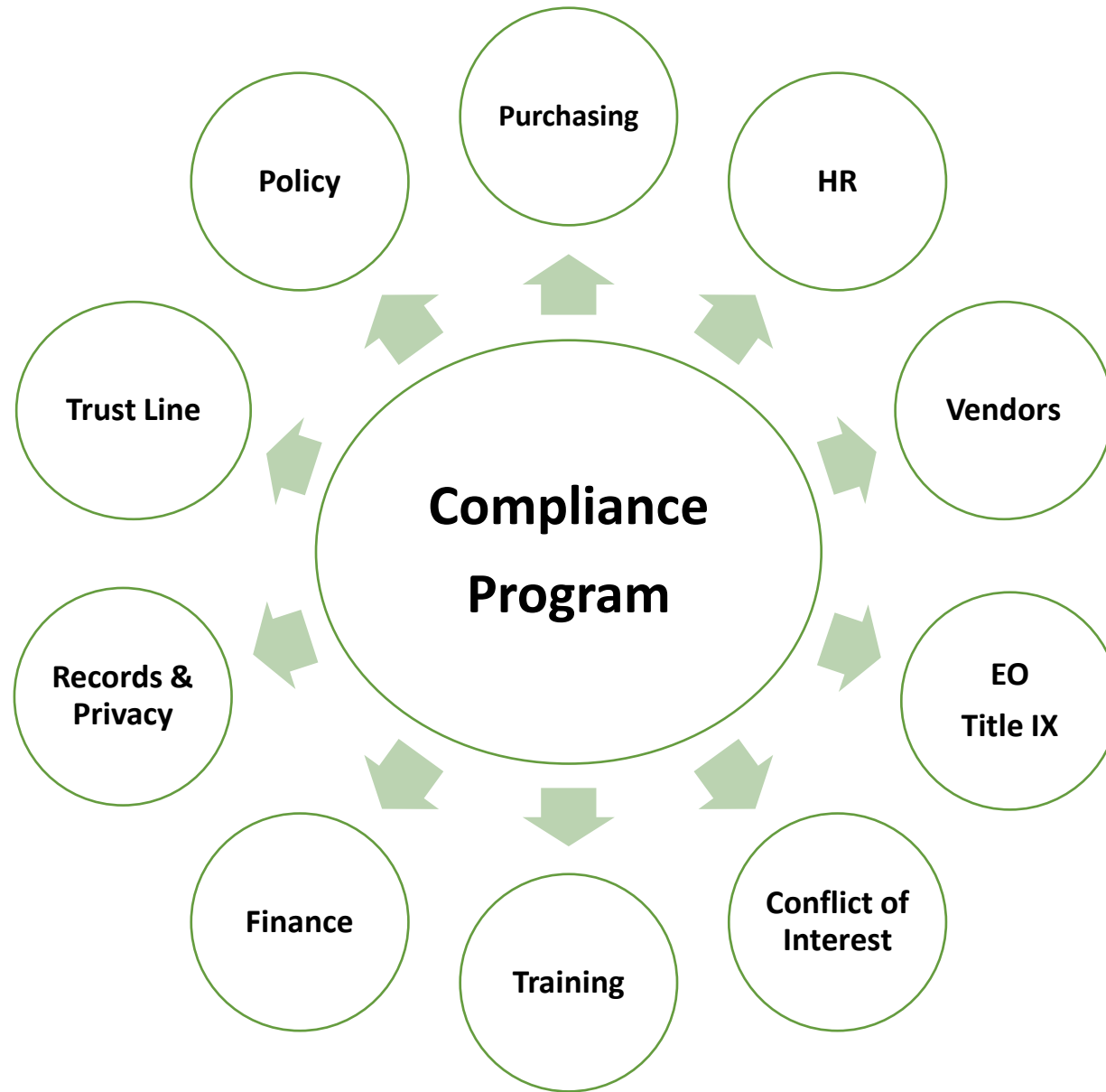
Date: Oct 23, 2023

# UNT System Administration Compliance Program

Renaldo L. Stowers  
Deputy General Counsel & UNTSA CCO  
UNT System Board of Regents  
November 6, 2023

# Compliance Program Focus

Functions and activities performed by the System Administration that affect the strategic objectives and missions of the UNT System and its component institutions.

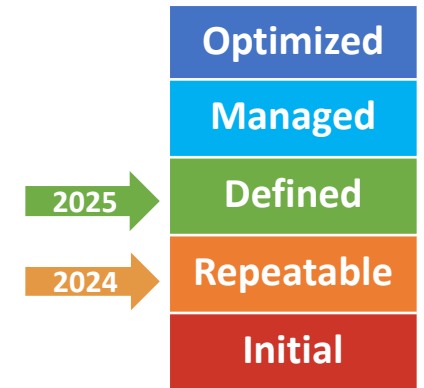


# Program Assessment Update



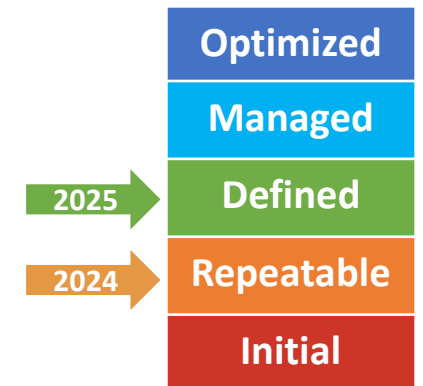
## Risk Assessment

- Automate compliance risk identification and assessment
- Engage existing compliance expertise within System Administration



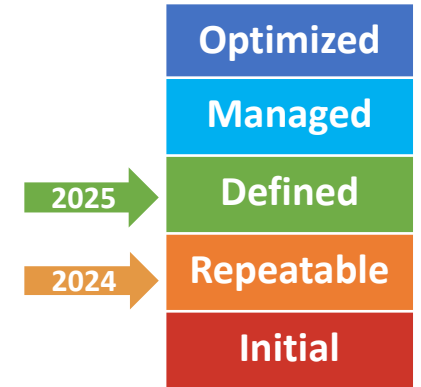
## Reporting & Accountability

- Align compliance positions and compliance training



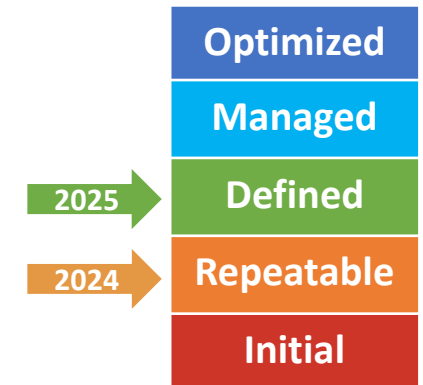
## Policies

- Develop policy infrastructure and assess policy criticality



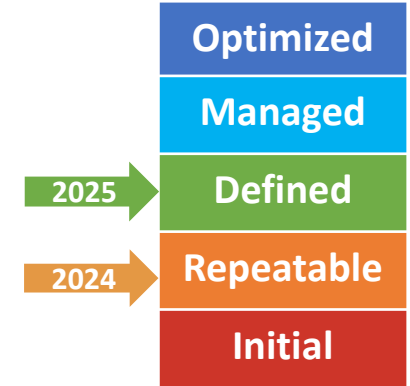
## Commitment by Senior Management

- Strategically engage System Executive Compliance Committee



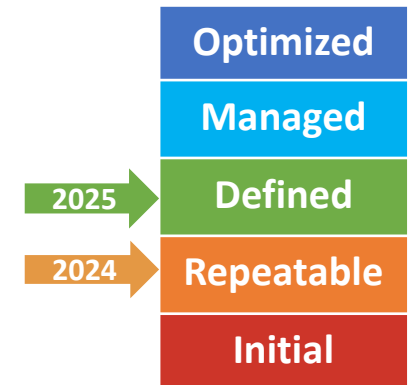
## Communication & Training

- Increase Program visibility as an ethics, values and compliance resource
- Enhance confidence in suspected misconduct reporting system (Trust Line)



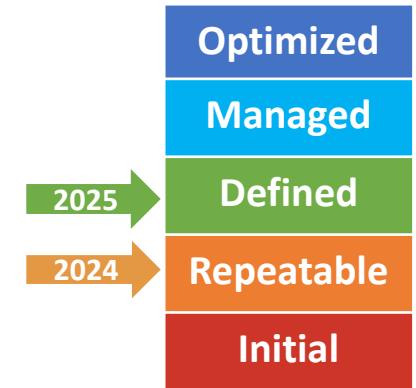
## Autonomy & Resources

- Complete independence and autonomy

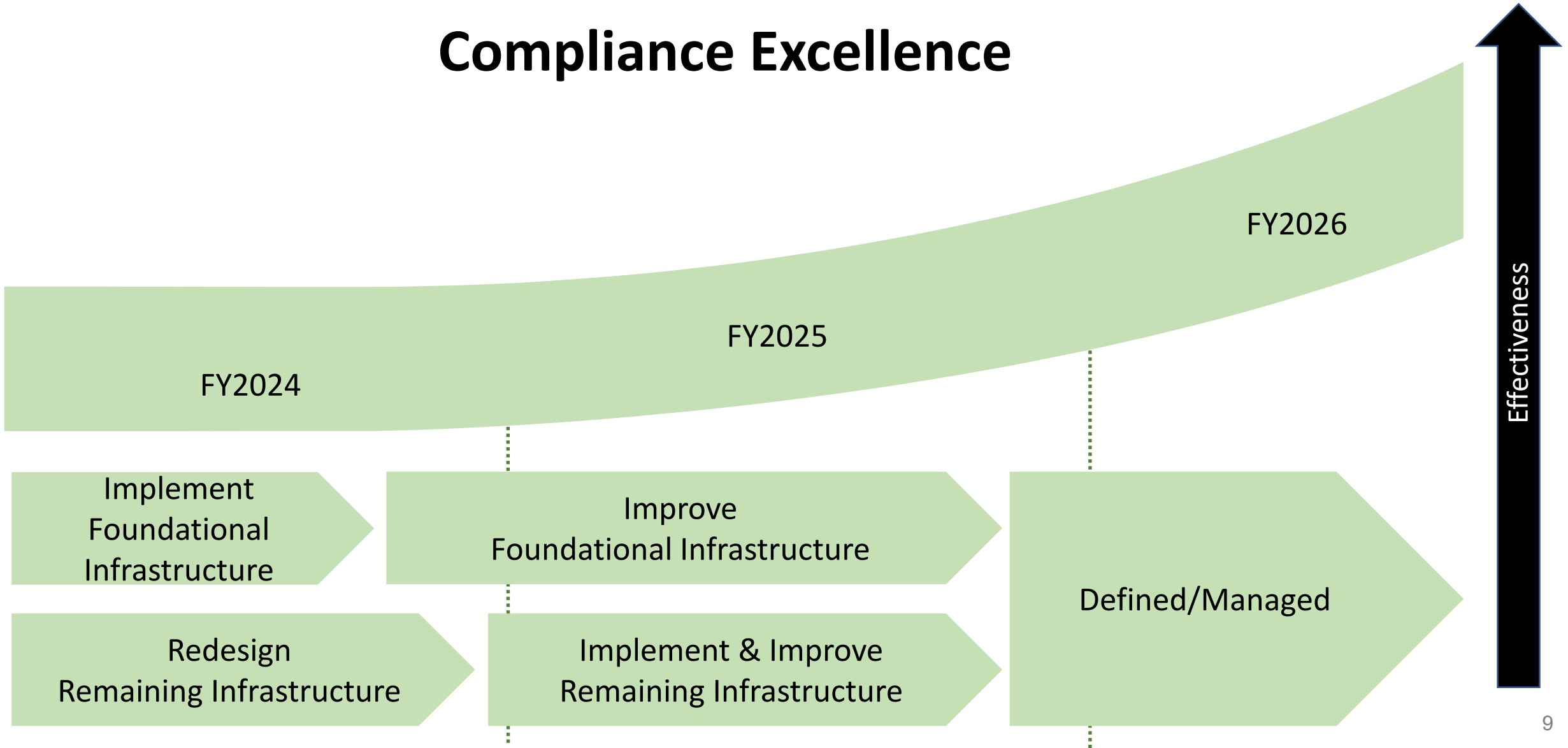


## Continuous Improvement, Periodic Testing & Review

- Implement After Action Review for all significant compliance incidents



# Compliance Excellence



# Quarterly Report of Audit Activities

Presented by Donald Rickett

November 6, 2023

# Agenda

## FY24 1st Quarter Report of Activities

- Audit plan status
- Audit results
- Status of management actions
- Internal Audit External Quality Assurance Review

# FY24 Internal Audit Plan Status

The coverage map is the status of the plan as of October 31, 2023 – inclusive of current adjustments to the plan. Currently, on track to complete plan at fiscal year-end.

**Plan Changes:**

**+ Incident Response/ Crisis Management**  
 carried over to FY24 Plan as enterprise-wide scope of review requiring more time than estimated

**Red – Assurance**  
**Black – Advisory**  
**Blue – Continuous Monitoring**  
 ✓ **Completed**  
**IP – In Process**  
**+ - Add**

Inherent Risk Rating:  
 C – Critical Risk  
 H – High Risk  
 M – Medium Risk  
 \* - Mandatory

Risk Category	UNT System	UNT	UNTHSC	UNT Dallas
People	Employee Offboarding (C)			
	Benefits Proportional by Fund*			
Financial		Tuition and Fees - Ongoing UNT (M) (IP)	Tuition and Fees –Ongoing HSC (M)	Tuition and Fees-Ongoing UNTD (M)
		Student Services Fees (H)		
				Asset Management, Receiving, Warehousing (M)
Compliance	Compliance Program On-Going Monitoring (H)			
		Human Subjects Research Program (H)	Human Subjects Research Program (H)	
		Athletics -UNT NCAA Compliance (M)		Athletics - Dallas NAIA Compliance (M)
	Conflict of Interest (M)			
		Medical Credentialing (M)	Medical Credentialing (M)	
Technology	IT Governance (C) (IP)			
Operations	Deferred Maintenance (M) (IP)			
	Purchase Cards (H)			
	Annual Assessment of Compliance and Procurement Policies*			
			Faculty Development*(IP)	
			Family Medicine*(IP)	
Governance	Third Party Management Program (C) (IP)			
Brand/ Reputation	Incident Response and Crisis Management (FY23 Carryover) (C) + (IP)			
Envir., Social, Safety			Continuity of Operations (C)	



# Assurance/Advisory Engagements Completed

Entity	Engagement Name	The objective of the reviews were to assess the risk management framework, controls and governance that support the achievement of the following business outcomes	Summary of Actions or Recommendations
UNT, UNTHSC and UNTD	FY23 - Benefits Proportional (Assurance)	The Form APS 011 as required by the General Appropriations Act, Article IX, Section 6.08, Benefits Paid Proportional by Fund, was completed accurately and submitted timely for each institution.	Management will work with Texas Comptroller to determine best approach to correcting immaterial miscalculations on UNTD and HSC benefit allocations. Procedures will be updated to help ensure all funding exclusions are identified and key spreadsheet controls are implemented to prevent errors in calculations.
UNT and UNTHSC	FY23 – International Security Compliance (Assurance)	International Security Compliance Programs are designed and implemented to monitor relevant laws and regulations in order to mitigate regulatory risk, potential safety risk, and reputational risk.	<b>Notice:</b> The results of the International Security Compliance audit are sensitive and confidential and will be provided to the Board of Regents in executive session at the November 2023 meeting. This confidential information is excepted from public disclosure under Texas Government Code §552.139 <i>Exception: Confidentiality of Government Information Related to Security or Infrastructure Issues for Computers.</i>
UNT System Enterprise	FY24 - IT Governance (Advisory)	The governance and management of the enterprise’s information technology supports the organization’s strategies and objectives, generates value, promotes accountability and improves efficiency.	Quarterly Update: Active engagement with IT is underway through participation in IT Governance workshops and IT unification town halls. Internal Audit continues to provide regular feedback to ensure IT governance programs include clear communication and accountability considerations.
UNT System Enterprise	FY24 - Third Party Management Program (Advisory)	Oversight and management of third-parties enables business processes to function more effectively.	Quarterly Update: Active engagement with Procurement and IT Vendor Management is underway and Internal Audit has provided guidance on the importance of a collaborative process for developing the future enterprise Third Party Risk Management Program.
<b>Other Engagements</b>			
UNT System	Internal Audit continues to coordinate with the Institutional Compliance Offices and the Office of General Counsel regarding investigations.		

# Status of Management Actions (As of 10/15/23)

**Assurance action plans** are monitored and validated by Internal Audit as agreed. 36% of open management actions have been completed by management and are currently awaiting verification by Internal Audit before they can be closed. 59% of actions have undergone one or more revisions beyond their originally scheduled due dates.

UNT System Enterprise	Open 6/30/23	Closed	Added	Current Open – 10/15/23
UNTS Admin.	47	11	0	36
UNT	0	0	0	0
UNT Dallas	0	0	0	0
UNTHSC	8	2	0	6
Technology	49*	21	0	28
<b>Total Open Management Action Plans</b>	<b>104</b>	<b>34</b>	<b>0</b>	<b>70</b>

Open Action Plans by Risk Severity **		
Critical	High	Medium
3	16	17
0	0	0
0	0	0
0	5	1
5	11	12
<b>8 (11%)</b>	<b>32 (46%)</b>	<b>30 (43%)</b>

Action Plans Pending IA Validation
24
0
0
0
1
<b>25 (36%)</b>

Action Plans with Revised Due Dates
24
0
0
4
13*
<b>41 (59%)</b>

\*Technology management actions were reduced from 90 to 49 open issues after 6/30/23, due to rationalization initiatives associated with the IT unification project. The adjusted number is reflected as the opening balance in the table above. All revised technology actions plans were related to the IT unification project.

**Action Due Date Timeline**  
 > 12 months      6 (9%)

# External Quality Assurance Review Results

An independent audit of the Internal Audit Program was completed by Deloitte LLP to determine whether the Program conforms to the Standards and Code of Ethics required by Texas Law. Review concluded that Internal Audit **generally conforms** with standards/requirements. No findings were raised.

## Requirements and Scope

### Requirements:

Texas Internal Auditing Act requires the Internal Audit (IA) Program to:

- Conform with Institute of Internal Auditor’s (IIA) International Standards for the Professional Practice of Internal Auditing (the “IIA Standards”)
- Adhere to IIA’s Code of Ethics
- Conform with Generally Accepted Government Auditing Standards
- Perform an external quality assurance review every three years
- Post results of review in annual report on the Institution’s public website

### Scope:

- Evaluated IA Program against 13 IIA Standards and requirements
- Evaluated effectiveness of the IA methodology, technology and tools
- Evaluated value added by IA Program based on stakeholder feedback

Note: 3-tier rating system used with “Generally Conforms” being highest rating

## UNT System Internal Audit Results

Reference	IIA standard	Rating
<b>Attribute Standards</b>		
1000	Purpose, Authority, and Responsibility	●
1100	Independence and Objectivity	●
1200	Proficiency and Due Professional Care	●
1300	Quality Assurance and Improvement Program	●
<b>Performance Standards</b>		
2000	Managing the IA Activity	●
2100	Nature of Work	●
2200	Engagement Planning	●
2300	Performing the Engagement	●
2400	Communicating Results	●
2500	Monitoring Progress	●
2600	Communicating the Acceptance of Risks	●
<b>Code of Ethics and Definition of Internal Auditing</b>		
	Code of Ethics	●
	Definition of Internal Auditing	●

Source: Deloitte LLP’s External Quality Assurance Review

 **Conformity with the IIA Standards**

-  Generally Conforms
-  Partially Conforms
-  Does Not Conform



## MINUTES

### BOARD OF REGENTS Finance Committee August 17, 2023

The Finance Committee of the Board of Regents of the University of North Texas System convened on Thursday, May 18, 2023, at the University of North Texas at Dallas, Student Center, Campus Hall, Room 1050, 7300 University Hills Blvd, Dallas Texas, Texas, with the following members in attendance: Regents Carlos Munguia and Melisa Denis. Regent Mary Denny joined the committee in the absence of Regents Dan Feehan and Milton Lee.

There being a quorum present, the meeting was called to order by Committee Chairman Carlos Munguia. The first order of business was for approval of the minutes of the May 18, 2023, Finance Committee meeting. Pursuant to a motion by Regent Melisa Denis, and seconded by Regent Mary Denny, the minutes of the May 18, 2023, Finance Committee meeting were approved on a 3-0 vote.

The Committee had one briefing, the **UNTS Quarterly Financial Update**, which was presented by UNT System Deputy Chancellor for Finance and Operations Greg Anderson.

Next, the Committee considered two action items. The first action item was presented by UNT Chief Financial Officer Clayton Gibson, UNTHSC Chief Financial Officer Kemp Lewis, UNT Dallas Chief Financial Officer Arthur Bradford, Associate Vice Chancellor for Finance Paige Smith, and Deputy Chancellor Greg Anderson as noted below.

#### **11. UNTS Approval of the FY24 UNT System Consolidated Operating Budget**

Pursuant to a motion by Regent Mary Denny, and seconded by Regent Melisa Denis, the Committee approved the action item on a 3-0 vote.

The second action item was presented by Associate Vice Chancellor for Treasury Maleia Torres as noted below.

#### **12. UNTS Resolution Reinstating the Maximum Issuance Authorization of University of North Texas System Revenue Financing System Commercial Paper Notes, Series A, and Amendments to Regents Rule 10.300, Debt Management**

Pursuant to a motion by Regent Melisa Denis, and seconded by Regent Mary Denny, the Committee approved the action item on a 3-0 vote.

There being no further business, the Committee meeting adjourned at 12:00 p.m.

Submitted By:

A handwritten signature in blue ink that reads "Rachel Barone" followed by a horizontal line.

Rachel Barone, Secretary  
Board of Regents

Date: Oct 23, 2023

# UNTS Board of Regents

## FY 2023 Q4 Financial Update

Susan Alanis, Deputy Chancellor for Finance & Ops.  
November 6, 2023

# Enterprise Strategic Priority

- **Increase cash and investments** to maintain appropriate liquidity, preserve debt rating and maximize agility and growth potential.
  - Philanthropy
  - Research and Other Grants
  - Legislative Success – Texas University Fund
  - Effective budget management
  - Effective capital asset management

# Key Financial Drivers for FY2023 Year-End

- **Tuition & fees** increased 12.8% from prior year due to UNT enrollment growth
- **Investment Income** decreased by \$3m/14.2% and **market value of investments** increased 146% from prior year due to market conditions and focus on active management of liquidity needs to allow longer term investments



# FY 2023 Year-End Budget Performance Compared to Budget

## UNTS Consolidated

Revenue Drivers (net \$83M positive from budget; received 106% of budget):

- **Tuition, Fees** up due to UNT enrollment (\$22M)
- **Financial Aid Grants** up due to UNT enrollment
- Increased demand for **Dining/Housing**
- Other revenue up due to receipt of **CCAP allocations** after budget adoption
- **Investment income** substantially higher than budget due to investments performing better than expected

Expense Drivers (\$3M savings; spent 99.7% of budget)

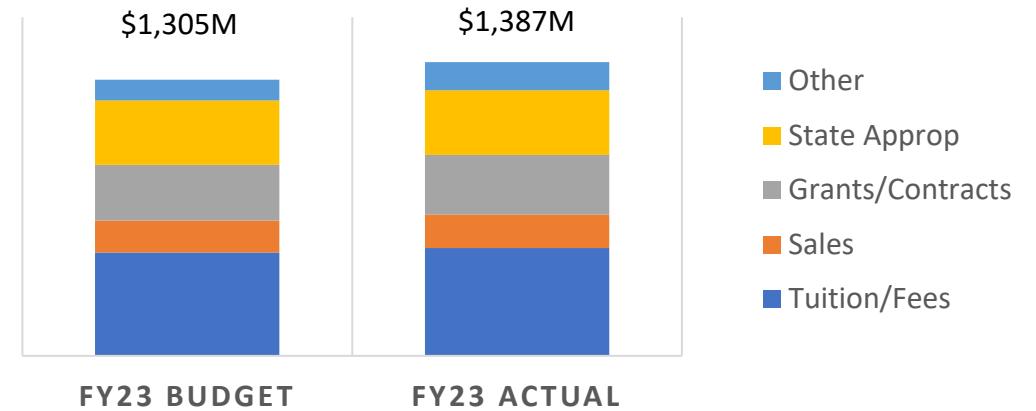
- Increased **cost of operations** for increased enrollment
- Offset by \$36M in **lagging sub-awards** for AIM-AHEAD grant

Transfers Out (\$21M over budget)

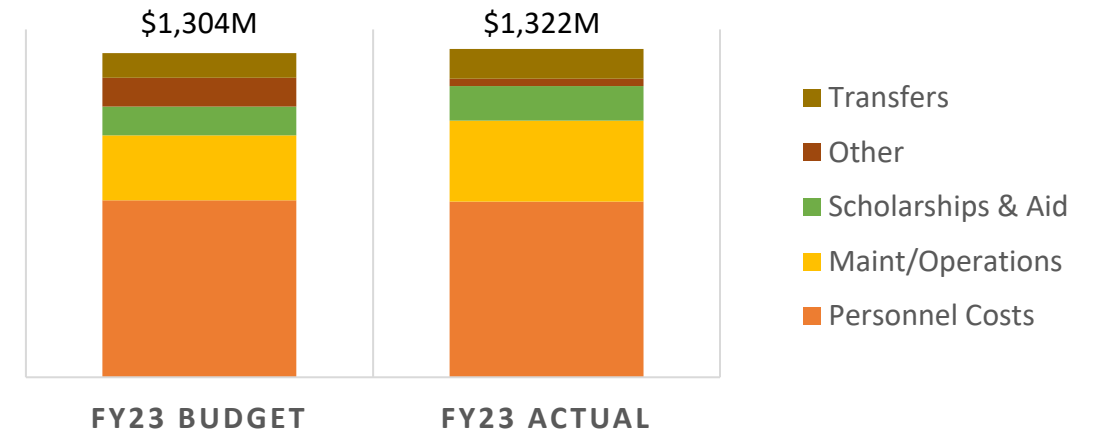
- Increased transfers for unbudgeted CCAP

Net budgetary contribution to fund balance of \$66M compared to planned \$1M.

### REVENUES



### EXPENSES & TRANSFERS



# FY 2023 Q4: Performance Compared to Budget

## Summary by Institution

<p><b>University of North Texas</b></p> <p><b>10.9% ahead</b></p> <p><u>Revenue:</u></p> <ul style="list-style-type: none"> <li>Up \$93.9m; <b>Tuition &amp; Fees and Texas Grants.</b></li> </ul> <p><u>Expenses &amp; Transfers:</u></p> <ul style="list-style-type: none"> <li>Higher than plan by \$34.5m to support <b>higher enrollment</b>, increased recruiting expenses and scholarships</li> <li>Transfers out higher than plan by \$11.9m; <b>unbudgeted CCAP.</b></li> </ul> <p><b>5.4% ahead</b></p>	<p><b>UNT Health Science Center</b></p> <p><b>7.3% behind</b></p> <p><u>Revenue:</u></p> <ul style="list-style-type: none"> <li>Lower than plan by \$25.6m; <b>AIM-AHEAD grant deferred to FY2024.</b></li> </ul> <p><u>Expenses &amp; Transfers:</u></p> <ul style="list-style-type: none"> <li>Lower than plan by \$38.9m; <b>AIM-AHEAD deferred to FY2024.</b></li> </ul> <p><b>11% behind</b></p>
<p><b>University of North Texas Dallas</b></p> <p><b>15.9% ahead</b></p> <p><u>Revenue:</u></p> <ul style="list-style-type: none"> <li>Ahead of plan by \$13.4m for <b>CCAP and Texas Grants.</b></li> </ul> <p><u>Expenses &amp; Transfers:</u></p> <ul style="list-style-type: none"> <li>Higher than plan by \$3.2m for <b>recruiting and CIP</b></li> <li>Transfers out higher than plan by \$10.7m for <b>unbudgeted CCAP.</b></li> </ul> <p><b>16.4% ahead</b></p>	<p><b>UNT System Administration</b></p> <p><b>8.4% ahead</b></p> <p><u>Revenue:</u></p> <ul style="list-style-type: none"> <li>Ahead of plan by \$1.0M for robust <b>investment income.</b></li> <li>Unbudgeted reimbursements of \$1.9M for <b>certain campus IT services</b></li> </ul> <p><u>Expenses &amp; Transfers:</u></p> <ul style="list-style-type: none"> <li>Lower than planned expenses by \$1.9M due to <b>vacancies.</b></li> </ul> <p><b>33.2% behind</b></p>

# FY 2023 Year-End Budget Performance Compared to Last Year

## UNTS Consolidated

Revenue Drivers (net \$71M positive from FY2022; +5.4%):

- **Tuition, Fees** up due to UNT enrollment (\$58M)
- Other Income increased by \$11m due to CCAP distributions

Expense Drivers (\$102M increase; +9.3%)

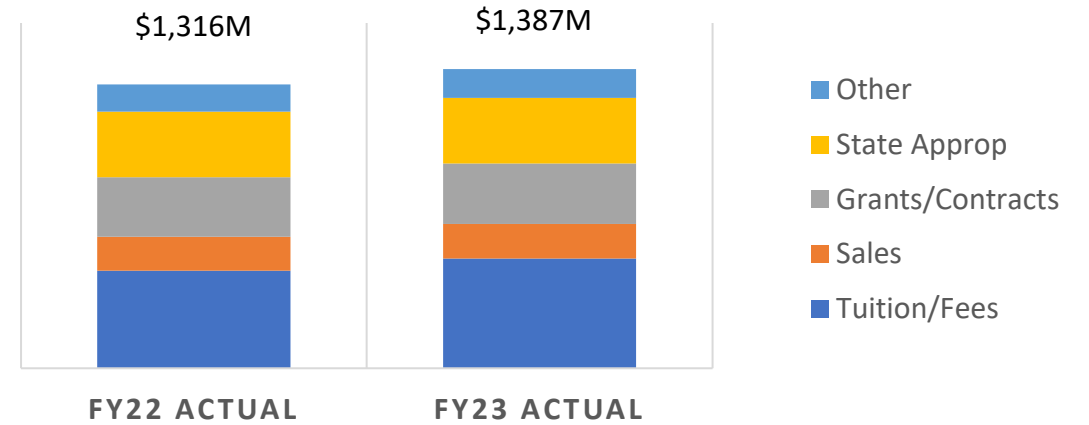
- Increased **cost of operations** for increased enrollment
  - Payroll
  - Housing/Dining/Campus Activity Demand
  - Student Services
  - Utilities
- **Professional Fees & Services** increased due to HSC’s AIM Ahead grant – offset by grant revenue
- **Research**
- **Travel** restoration

Transfers Out (\$13.6M decrease; -10%)

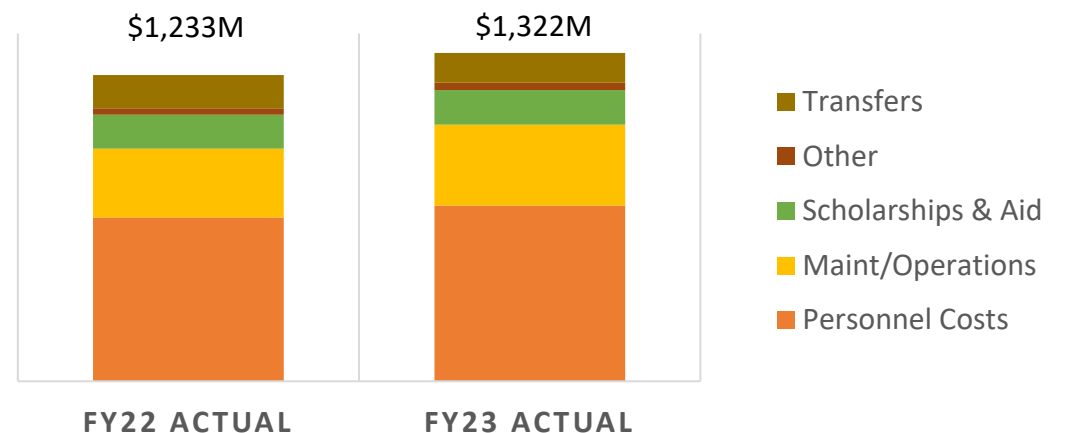
- Fewer transfers for HEF projects at UNT

Net budgetary contribution to fund balance of \$66M compared to \$83M in FY2022.

### REVENUES



### EXPENSES & TRANSFERS



# FY 2023 Statement of Revenues, Expenses & Changes in Net Position Compared to Prior Year

## Net Position increased by \$57m (8%)

### Operating Revenues increased by \$119m (16%)

- Tuition, Auxiliary Enterprises - \$69M
- Grants and Contracts - \$61M
- Sale of Goods and Services – (\$10M)

### Non-operating Revenues increased by \$65M (16%)

- FMV of Investments – \$107M
- CCAP Funds – \$26M
- Capital Contributions - \$9M
- Federal Revenue (HEERF) - (\$57M)

### Operating Expenses increased by \$120M (10%)

- Current Budgetary Expenses
- Depreciation and Amortization

	2023	2022	% Increase (Decrease)
Operating Revenues	\$ 877,432	\$ 758,462	15.7%
Operating Expenses	1,368,977	1,248,159	9.7%
<b>Operating Income (Loss)</b>	<b>\$ (491,545)</b>	<b>\$ (489,697)</b>	<b>0.4%</b>
Nonoperating Revenues (Expenses)	474,305	408,997	16.0%
<b>Income (Loss) Before Other Revenues, Expenses and Transfers</b>	<b>\$ (17,240)</b>	<b>\$ (80,700)</b>	<b>(78.6%)</b>
Other Revenues, Expenses and Transfers	76,467	60,785	25.8%
<b>Change in Net Position</b>	<b>\$ 59,227</b>	<b>\$ (19,915)</b>	<b>(397.4%)</b>
Net Position, Beginning of Year	\$ 737,436	\$ 765,679	(3.7%)
Restatement	(2,627)	(8,328)	(68.5%)
Restated Net Position, Beginning of Year	734,809	757,351	(3.0%)
<b>Net Position, End of Year</b>	<b>\$ 794,036</b>	<b>\$ 737,436</b>	<b>7.7%</b>

# FY 2023 Statement of Net Position (Assets, Liabilities & Net Position)

## Significant Changes from FY2022

**Net Position increased by \$57m (8%)**

**Assets & Deferred Outflows: increased \$76m (2.5%)**

- Investments – \$104m
- Prepaid Expense (Tuition & Fees) – \$12m
- Deferred Outflows for OPEB and Pensions – (\$54m)

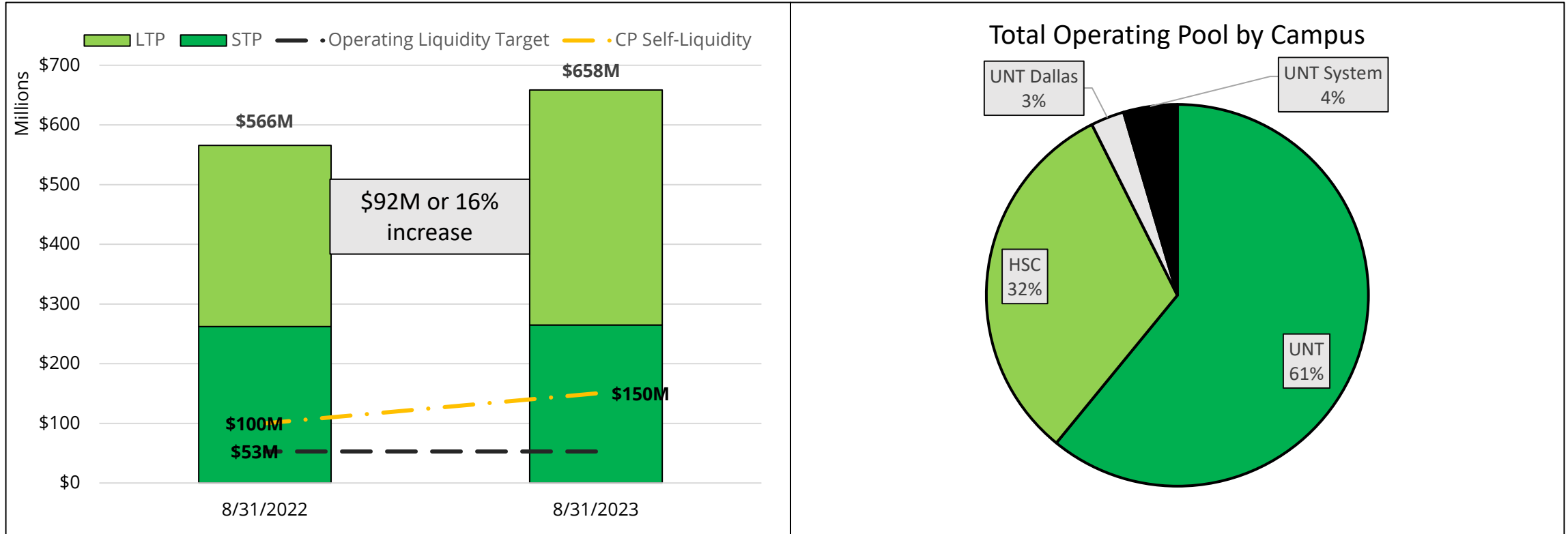
**Liabilities & Deferred Inflows: increased \$13m (0.6%)**

- Lease/Subscription Liability - \$10m
- Bonded Debt decrease (\$50m)
- Commercial Paper increase \$39M
- Pension liability increase \$105M
- OPEB liability decrease (\$82M)

	2023	2022
<b>Assets and Deferred Outflows of Resources</b>		
Current Assets	\$ 741,692	\$ 718,513
Capital Assets, Net	1,437,935	1,442,298
Other Non-Current Assets	622,616	517,016
<b>Total Assets</b>	<b>\$ 2,802,243</b>	<b>\$ 2,677,827</b>
Deferred Outflows of Resources	223,549	278,032
<b>Total Assets and Deferred Outflows of Resources</b>	<b>\$ 3,025,792</b>	<b>\$ 2,955,859</b>
<b>Liabilities and Deferred Inflows of Resources</b>		
Current Liabilities	\$ 610,912	\$ 560,920
Non-Current Liabilities	1,404,611	1,430,201
<b>Total Liabilities</b>	<b>\$ 2,015,523</b>	<b>\$ 1,991,121</b>
Deferred Inflows of Resources	216,232	227,302
<b>Total Liabilities and Deferred Inflows of Resources</b>	<b>\$ 2,231,755</b>	<b>\$ 2,218,423</b>
<b>Net Position</b>		
Net Investment in Capital Assets	\$ 590,710	\$ 554,929
Restricted:		
Funds Held as Permanent Investments:		
Non-Expendable	67,504	64,227
Expendable	44,147	39,735
Other Restricted	82,146	72,947
Total Restricted	\$ 193,797	\$ 176,909
Unrestricted	9,530	5,598
<b>Total Net Position</b>	<b>\$ 794,036</b>	<b>\$ 737,436</b>
<b>Total Liabilities, Deferred Inflows of Resources and Net Position</b>	<b>\$ 3,025,792</b>	<b>\$ 2,955,859</b>

# FY 2023 Q4 Operating Funds YoY Balance Comparison

Operating funds consists of Cash and Investments in the Short Term Pool (STP) and the Long Term Pool (LTP)

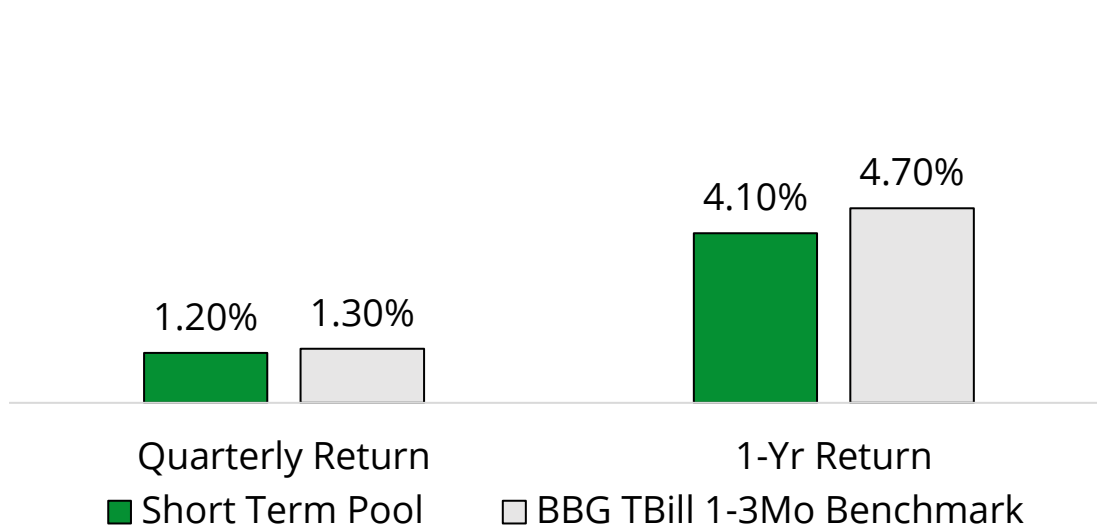


- Treasury focus on monitoring operations and Commercial Paper Self-Liquidity needs to shift excess to LTP to increase returns

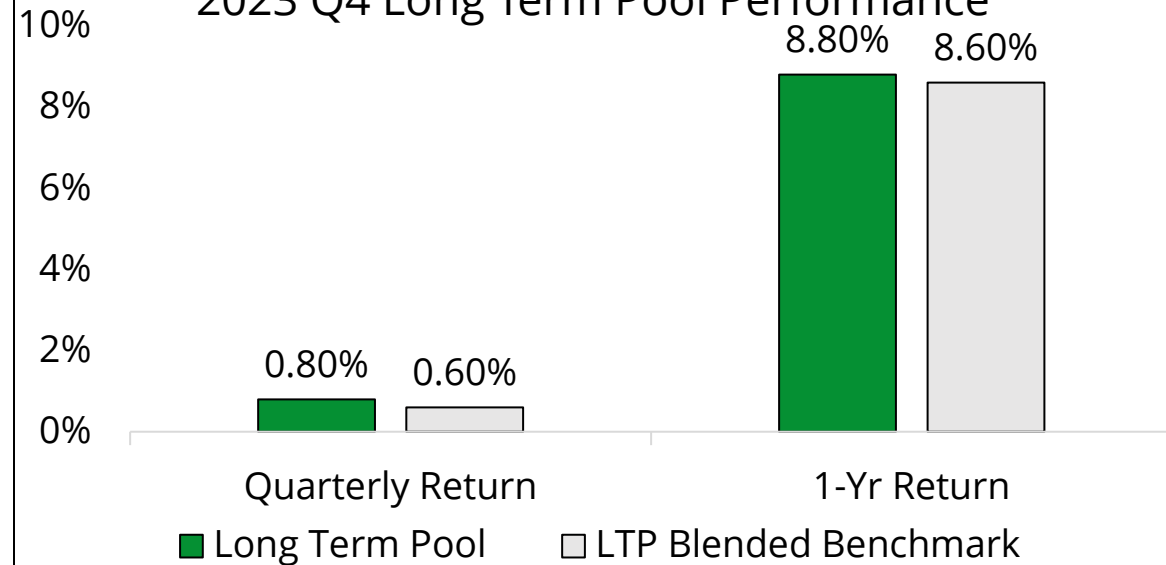
# FY 2023 Q4 Operating Funds Investment Performance

Both Short Term Pool and Long Term Pool outpaced inflation - 1-Year CPI of 3.67%

### 2023 Q4 Short Term Pool Performance



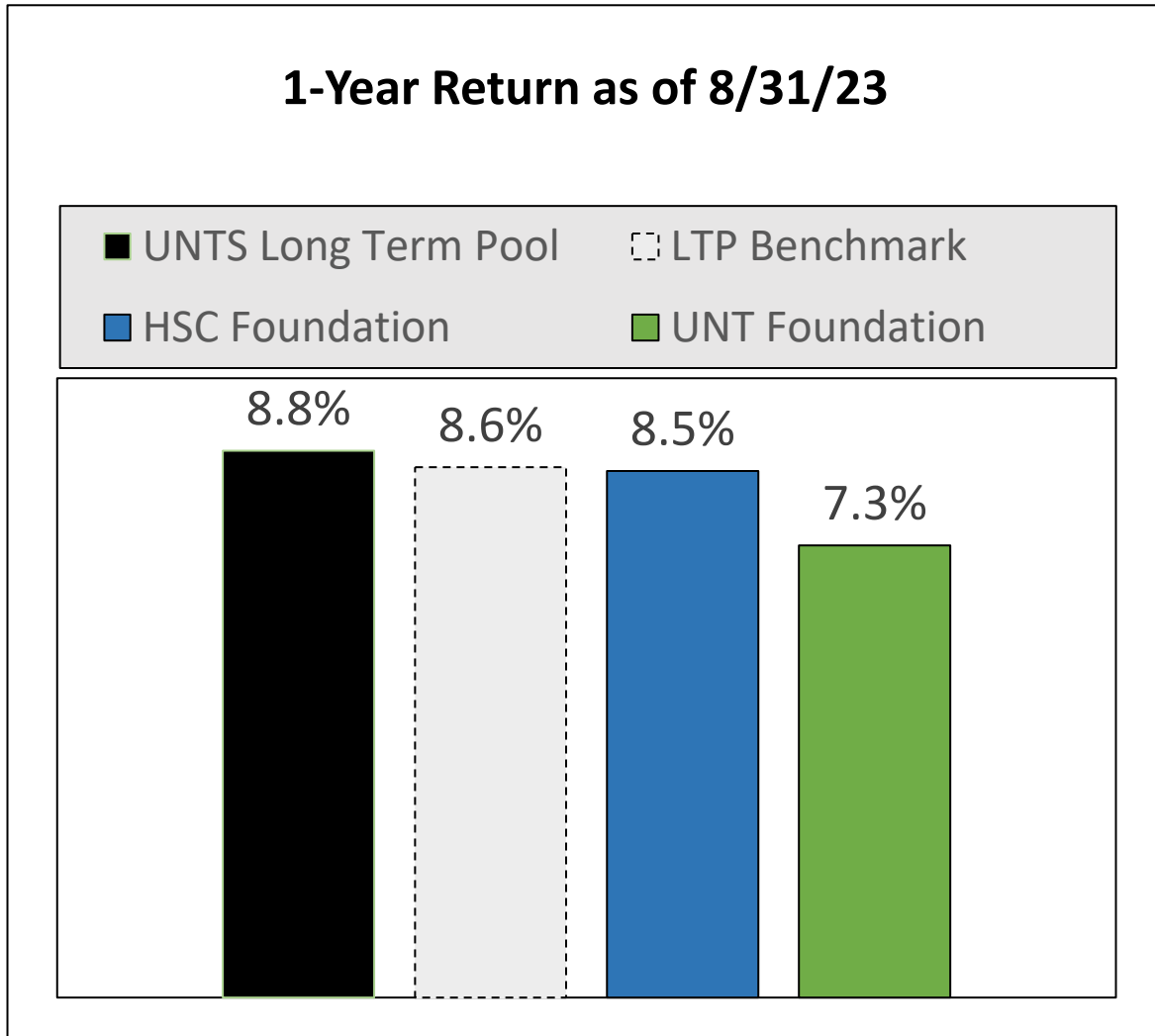
### 2023 Q4 Long Term Pool Performance



- Ending Balance \$265M
- Fed Funds Rate at 5.25%-5.50%
- Inverted Treasury yield curve favorable to earn
- Hedging imminent short term rate decline by extending duration

- Ending Balance \$393M
- During FY23
  - \$65M additions from Short Term Pool rebalancing
  - \$21M Market Value increase

# UNTS Managed and Foundation-Managed Funds Performance



*During fiscal year 2023, Operating Funds and Endowments have performed positively with the financial markets.*

## UNTS Long Term Pool

- \$ 393M portion of System Operating Funds managed by Goldman Sachs

## HSC Foundation Portfolio

- \$ 119M HSC Endowment
- \$ 14M HSC Medical Malpractice Fund

## UNT Foundation Portfolio

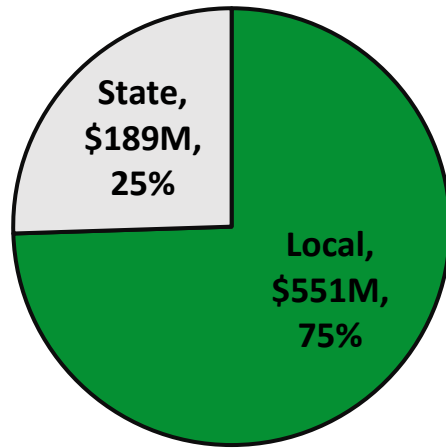
- \$ 287M Foundation Endowments and UNT & UNT Dallas Endowments



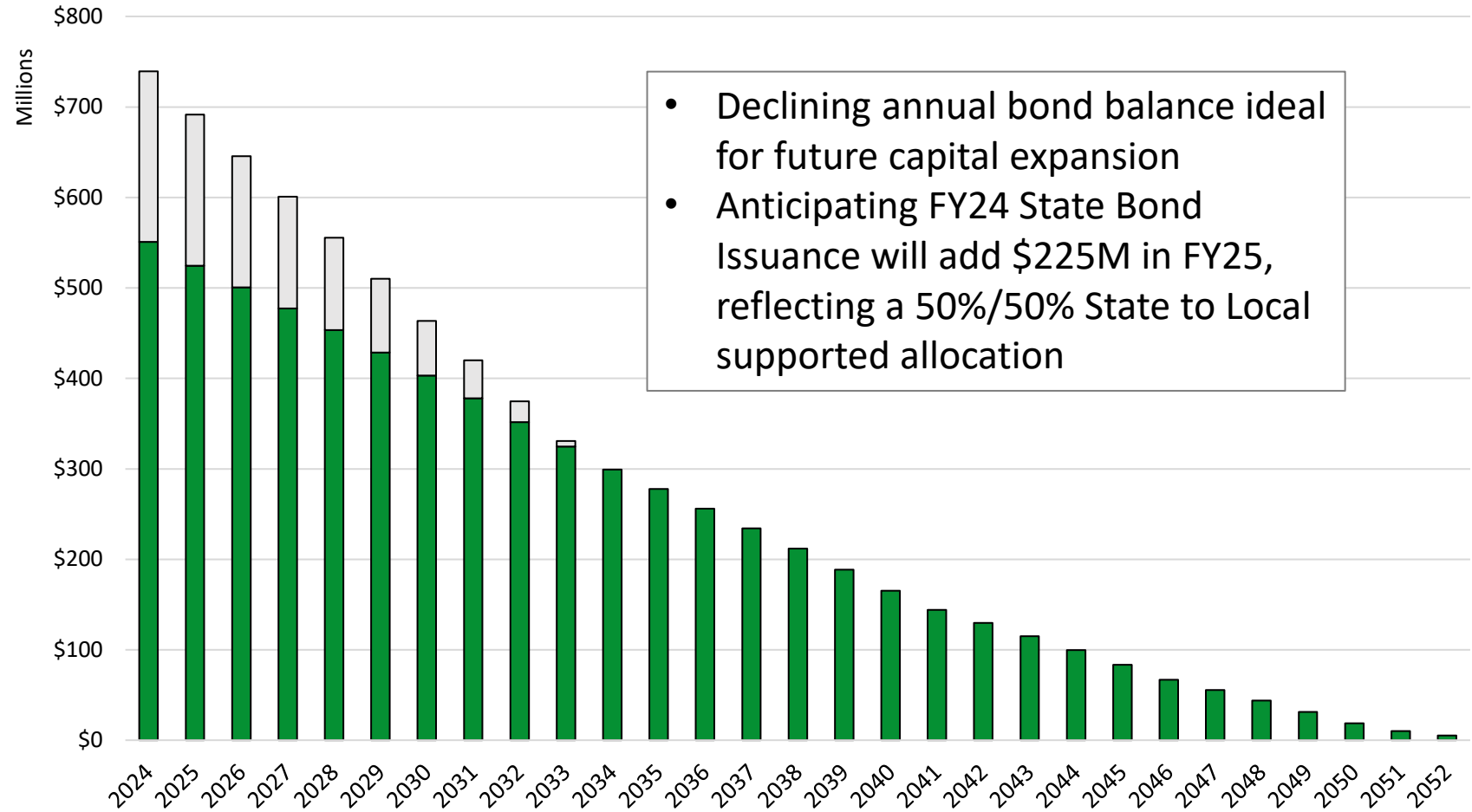
# Outstanding Bonds by Repayment

Legend:  State  Local

## FY24 Outstanding Principal



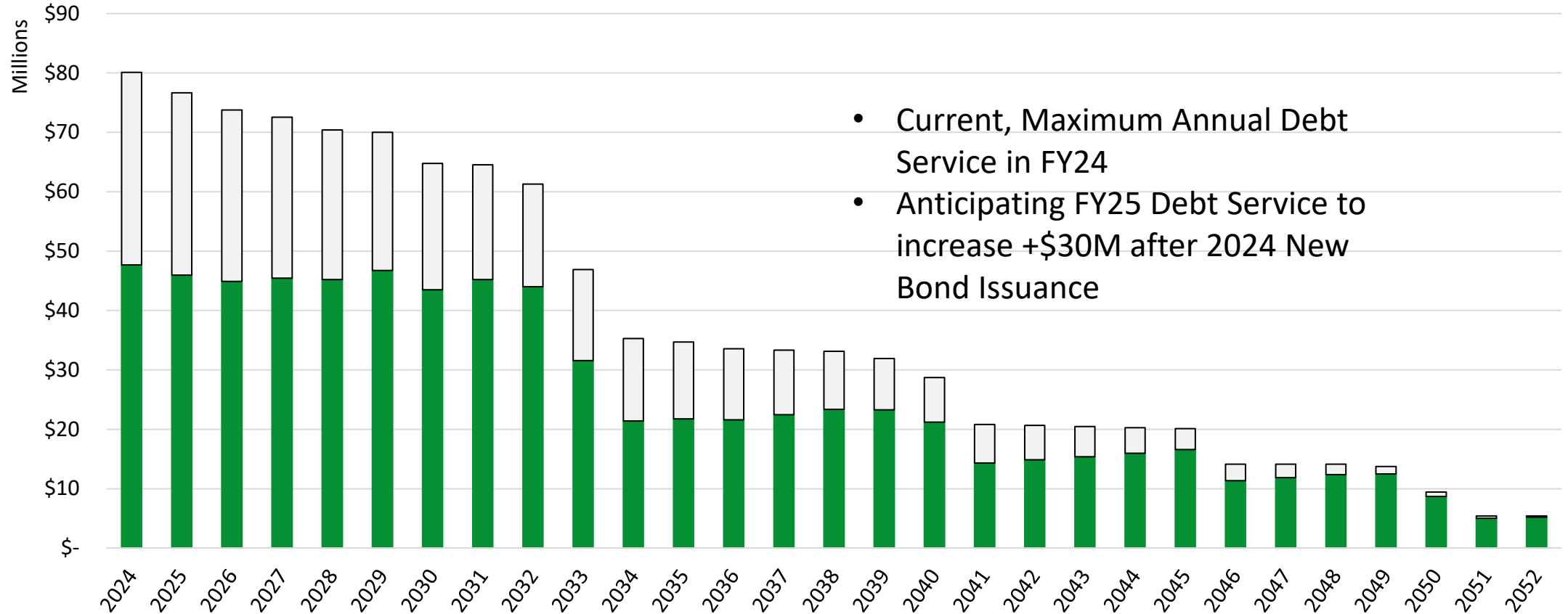
## Annual Amortization Schedule



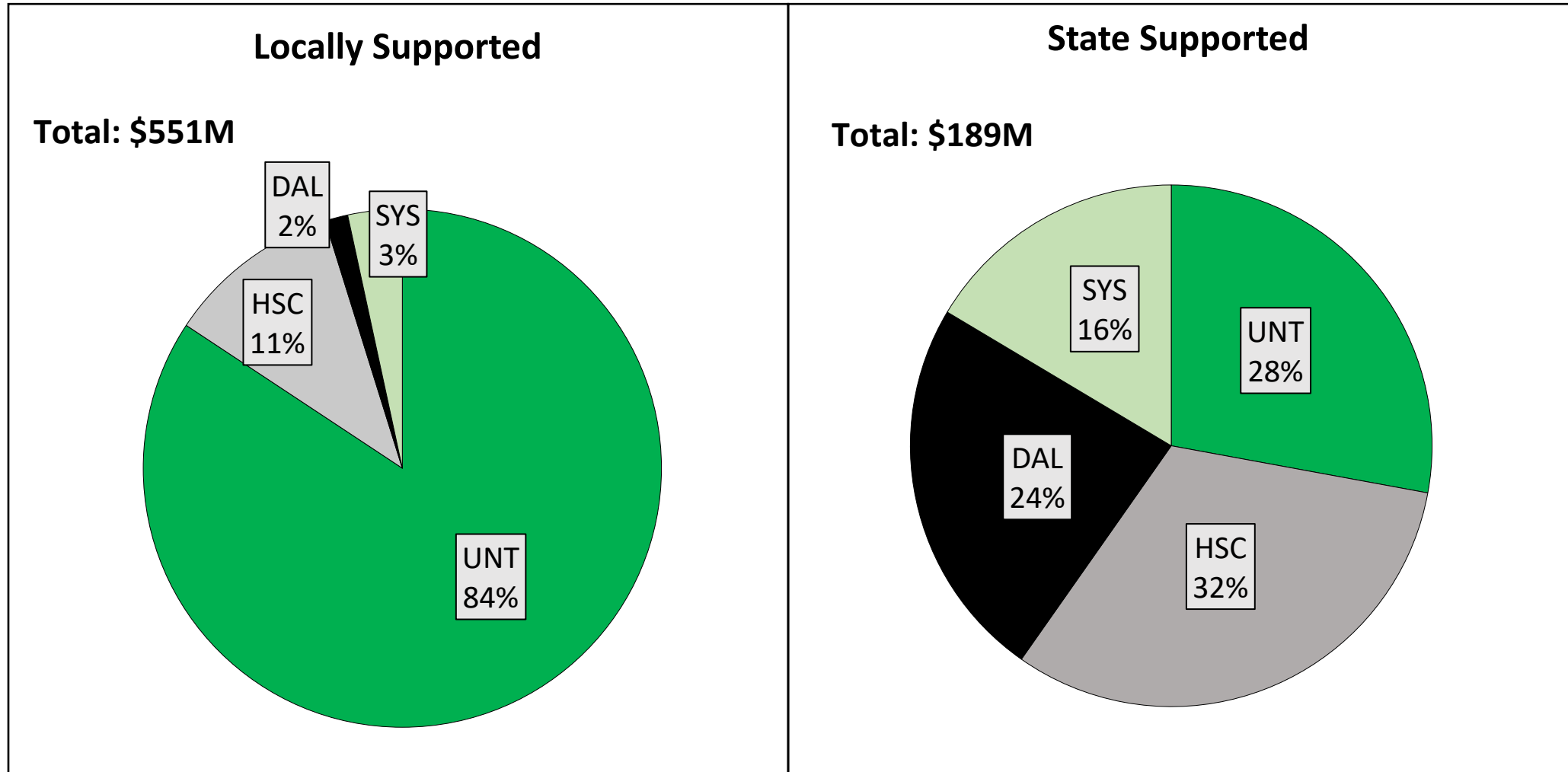
# Bonds Annual Debt Service

Legend:  Interest  Principal

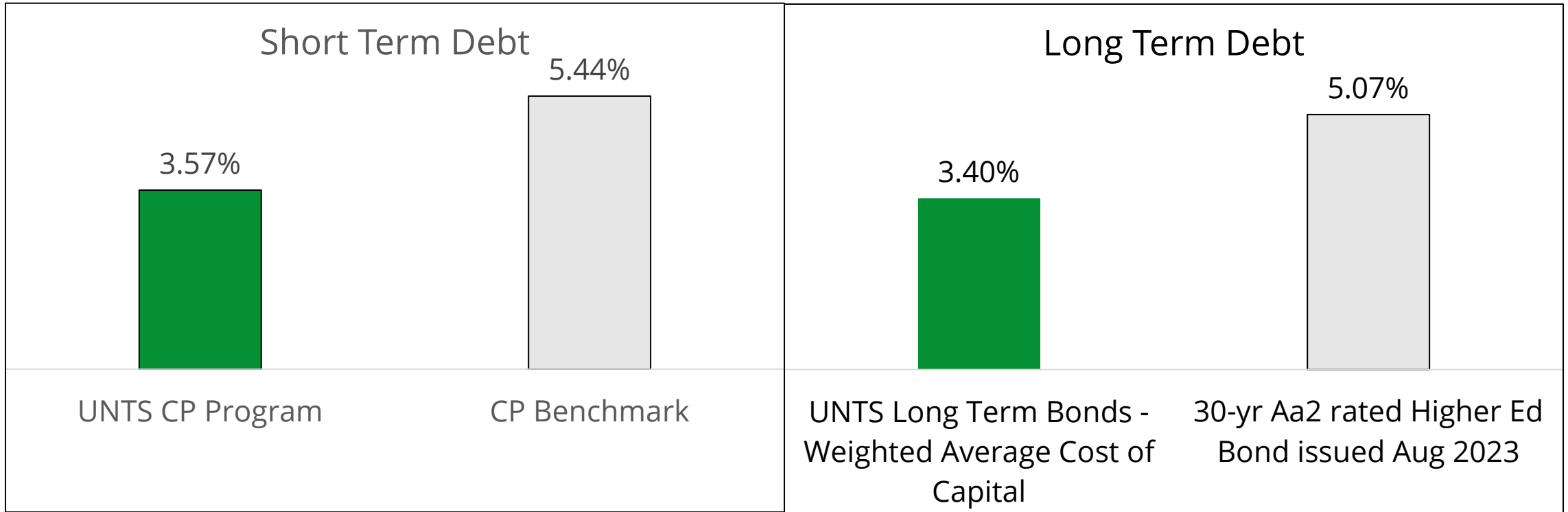
## Annual Debt Service



# FY 2023 Outstanding Bonds by Repayment by Campus



# FY 2023 Q4 Debt Program Cost



- CP as interim financing - **\$60M outstanding** of \$150M maximum authority
- Current **cost of borrowing** continues to rise
- Combined UNT System portfolio of **average cost over time compares favorably**
- Anticipate **Long-Term Bond Issuance in Spring 2024 ~\$300M**

# Questions



**MINUTES**  
**BOARD OF REGENTS**  
**Strategic Infrastructure Committee**  
**August 17, 2023**

The Strategic Infrastructure Committee of the Board of Regents of the University of North Texas System convened on Thursday, August 17, 2023, in the University of North Texas at Dallas, Student Center, Campus Hall, Room 1050, 7300 University Hills Blvd, Dallas, Texas, with the following members in attendance: Regents Mary Denny, Lindy Rydman and John Scott. Regent John Scott served as Committee Chair in the absence of Regent A.K. Mago.

There being a quorum present, the meeting was called to order by Committee Chair John Scott. Pursuant to a motion by Regent Lindy Rydman, and seconded by Regent Mary Denny, the committee approved the minutes of the February 16, 2023, Strategic Infrastructure Committee meeting on a 3-0 vote.

The Committee had one action item to consider. Vice Chancellor for Strategic Infrastructure, Ryan Swanson, presented the item as noted below.

**13. UNTS    Approval of the UNT System FY24 Capital Improvement Plan**

Pursuant to a motion by Regent Mary Denny, and seconded by Regent Lindy Rydman, the Strategic Infrastructure Committee approved the above item on a 3-0 vote.

There being no further business, the Strategic Infrastructure Committee meeting adjourned at 12:45 p.m.

Submitted By:

A handwritten signature in blue ink that reads "Rachel Barone".

Rachel Barone,  
Board Secretary

Date: Oct 23, 2023



## Board Briefing

---

**Committee:** Strategic Infrastructure

**Submission Date:** October 5, 2023

**Title:** Approval of UNT System FY24 Capital Improvement Plan and Amendment to Project Budget of Inspire Park MEP & Interior Renovation

---

### **BACKGROUND SUMMARY:**

Per Regents Rule 11.202, the Capital Improvement Plan (CIP) shall provide a process of strategic capital project planning related to future development and preservation of construction programs and physical plants for the System Administration and each Institution and shall include a five-year projection of all Major Projects.

The Capital Improvement Plan for FY24 was presented at the August 2023 Board of Regents meeting. Recently, a typographical error was identified for Project 22-01-1721 Chilton Exterior Envelope Repairs and Interior Code Compliance. The total project authorization was listed as \$9M but has been corrected to show \$4M, which is the previously approved budget.

In addition, we now request a budget increase to Project 23-01-2301 Inspire Park MEP & Interior Renovation from \$10.00M to \$11.70M for completion of two additional laboratories in Frisco. The additional \$1.7M will be funded through unencumbered HEF.

### **PURPOSE:**

The Capital Improvement Plan provides a planning schedule and budget capacity for sustaining and improving UNT System Enterprise infrastructures. Board approval of projects included in the Capital Improvement Plan provides authority for the System Administration or an Institution to expend funds up to the total project cost for that project.

### **ASSESSMENT:**

The Strategic Infrastructure Committee of the Board of Regents must annually review and approve, and recommend to the Board, the UNT System Capital Improvement Plan (CIP). The Strategic Infrastructure Officer will report to the Board on progress and changes to the CIP as required by Regents Rules.

### **FINANCIAL IMPLICATIONS/TIMELINE:**

Funds for all the listed FY24 projects have been allocated by the institutions and confirmed by the respective Presidents and CFOs and funding plans have been reviewed by the Deputy Chancellor for Finance and Operations. Project schedules are specific to each project and are outlined in the related CIP documentation as applicable.

### **PROPOSED BOARD ACTION:**

It is recommended that the Board of Regents authorize and approve the FY24 Capital Improvement Plan.

Attachments Filed Electronically:

1. UNTS FY24 Capital Improvement Plan – November 2023 Amendment

---

**Legal Approval:**

*Alan Stucky*

---

Alan Stucky  
General Counsel

**Recommendation for Approval:**

*NS*

[Neal Smatresk \(Oct 24, 2023 08:37 CDT\)](#)

---

Neal Smatresk  
UNT President

*BM*

---

Bob Mong  
UNT Dallas President

*Sylvia Trent-Adams*

[Sylvia Trent-Adams \(Oct 24, 2023 14:56 CDT\)](#)

---

Sylvia Trent-Adams  
UNTHSC President

*Susan Alanis*

[Susan Alanis \(Oct 23, 2023 19:47 CDT\)](#)

---

Susan Alanis  
Deputy Chancellor,  
Finance and Operations

*Michael R. Williams*

---

Michael R. Williams  
Chancellor





## Board Order 2023-

---

**Title:** Approval of UNT System FY24 Capital Improvement Plan and Amendment to Project Budget of Inspire Park MEP & Interior Renovation

---

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 6, 2023, pursuant to a motion made by Regent \_\_\_\_\_ and seconded by Regent \_\_\_\_\_, the Board approved the motion presented below:

Whereas, the Board of Regents has previously approved the Campus Master Plans for UNT, UNTHSC, and UNTD, and

Whereas, UNT, UNTHSC, UNTD and UNT System Administration have developed Capital Improvement Plans consistent with the master plans and their strategic plans, and

Whereas, funds for all the listed FY24 projects have been allocated by the institutions and confirmed by the respective Presidents and CFOs, and funding plans have been reviewed by the Deputy Chancellor for Finance and Operations,

Now, Therefore, The Board of Regents authorizes and approves the following:

1. The UNTS FY24 Capital Improvement Plan as indicated in the attached CIP.
  2. Strategic Infrastructure Officer to present quarterly updates on progress of projects in the CIP with data provided by the institutions as needed.
  3. Reporting to the Texas Higher Education Coordinating Board as appropriate.
- 

**Board Action:**

VOTE: \_\_\_\_\_ ayes \_\_\_\_\_ nays \_\_\_\_\_ abstentions

Attested By:

Approved By:

---

Rachel Barone, Secretary  
Board of Regents

Laura Wright, Chair  
Board of Regents



FY2024 (in \$Million)

University of North Texas

Proj. No.	Project	Funding Source	Projected Repayment Source (if applicable)	Prior Yrs Budget Authorization	2024					2025	2026	2027	2028+	Total Project Budget Authorization
					2024	2025	2026	2027	2028+					
<b>Previously Approved Projects:</b>														
<b>System OFPC Managed Projects</b>														
19-01-1901	Maple Hall Interior Renovation (Amend. 8/19, 8/20)	HR		1.42							2.26			3.68
21-01-2101	Science Research Building Second Floor Renovation (Amend. 5/22)	RFS	Local/Cash	11.50	5.50									17.00
21-01-2103	Multicultural Center	RFS	GRNT	0.75	4.25									
			Local/Cash		1.60									6.60
22-01-2205	Science & Technology Research Building	CCAP	LA	5.40	15.00	35.00	27.00	21.00						103.40
23-01-2307	2026 UNT Residence Hall	RFS	HR		0.50	20.00	30.00	18.50						69.00
<b>Hybrid Managed Projects</b>														
23-01-2304	Lovelace Stadium Renovation	SF			1.00									
		Local/Cash			2.00	1.50								
		AUX			1.00									5.50
23-01-2306	Athletics MGV Volleyball Facility Renovation	RFS	AR	0.25	2.00									2.25
23-01-2301	Inspire Park MEP & Interior Renovation	CCAP	LA		2.00	8.00								
		HEF			1.70									11.70
<b>UNT Facilities Managed Projects</b>														
17-01-0002	Coliseum MEP Renovation (Amend. 8/17, 8/20)	RFS	Local/Cash	4.90										4.90
19-01-1903	General Academic Classroom & Class Laboratory E-Locking (Amend 8/19)	HEF		1.55	1.00	2.00								4.55
19-01-1904	Kerr Hall A Tower Common Areas & Dining Renovation (Amend. 8/19)	AUX		3.90										3.90
19-01-1908	Clark Hall MEP Renovation (Amend. 8/20)	AUX		2.20	1.80									4.00
20-01-1910	Crumley Hall Lobby & MEP Renovation (Amend. 8/20)	AUX			0.57	1.25	2.35							4.17
21-01-1611	Curry Hall MEP (Amend. 8/21)	HEF		7.40										7.40
22-01-1721	Chilton Hall Exterior Envelope Repairs and Interior Code Compliance	HEF		3.00	1.00									4.00
22-01-1909	Campus Lighting Upgrades	HEF		1.70	1.50									3.20
22-01-2203	Music Building Jazz Laboratory Renovations	HEF		4.00										4.00
22-01-2206	UNT Advanced Air Mobility (UAAM) Test Center	HEF		1.05										
		GIFT		0.15										1.20
23-01-2302	Discovery Park Fire Piping Replacement	HEF		2.50										2.50
23-01-2305	ESSC Renovation -- Integrated Student Services Center (ISSC)	HEF		5.30	1.80									7.10
<b>Previously Approved Projects Authorized Total</b>				<b>56.97</b>	<b>44.22</b>	<b>67.75</b>	<b>61.61</b>	<b>39.50</b>						<b>270.05</b>
<b>New Projects for Approval:</b>														
<b>New Projects for Approval Authorized Total</b>				<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Authorized Capital Improvement Plan Total</b>				<b>56.97</b>	<b>44.22</b>	<b>67.75</b>	<b>61.61</b>	<b>39.50</b>						<b>270.05</b>

Future Projects

Proj. No.	Project	Funding Source	Projected Repayment Source	Prior Yrs Budget Authorization	2024					2025	2026	2027	2028+	Total
					2024	2025	2026	2027	2028+					
<b>Planned Strategic Priority Projects:</b>														
	Athletic Center Renovation and Expansion	GIFT					1.00	19.00						
		RFS	AR					19.00					1.00	40.00
	Pohl Recreational Building Renovation and Addition	RFS	SF					1.00					114.00	115.00
	Commerce, Analytics, Technology & Engineering Building	CCAP	LA					7.00					93.00	100.00
<b>Planned Strategic Priority Projects Total</b>				<b>-</b>	<b>-</b>	<b>-</b>	<b>1.00</b>	<b>46.00</b>	<b>208.00</b>					<b>255.00</b>
<b>Other Planned Priority Projects:</b>														
	Utility Metering System Upgrades	HEF			0.25	2.00	1.00	0.25						3.50
<b>Other Planned Priority Projects Total</b>				<b>-</b>	<b>0.25</b>	<b>2.00</b>	<b>1.00</b>	<b>0.25</b>	<b>-</b>					<b>3.50</b>
<b>Planned Priority Projects Total</b>				<b>-</b>	<b>0.25</b>	<b>2.00</b>	<b>2.00</b>	<b>46.25</b>	<b>208.00</b>					<b>258.50</b>
<b>Other Potential Upcoming Projects</b>														
<b>New Construction:</b>														
	Music Building Phase I													60.00
	New Basketball Practice Facility													30.00
	Recreational Sports Fields													128.00
<b>Renovation:</b>														
	Coliseum MEP Additional Phases													30.00
	Facilities Maintenance Complex Upgrades													5.00
	General Academic (GAB) Fire Safety Systems Upgrade													6.10
	Hickory Hall Renovation													12.00
	Matthews Hall Mechanical Upgrades													13.00
	Physical Education Building (PEB) Demolition													2.50
	RTPP MEP Renovation													13.00
	Wooten Hall Phase II													10.00
	Woodhill Parking Lot Repairs													
	Discovery Park Dining & Student Affairs Renovation													3.50
	Bruce Hall Dining Renovation													8.00
<b>Other Potential Upcoming Projects Total</b>				<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>321.10</b>
<b>Planned Priority &amp; Potential Upcoming Projects Total</b>				<b>-</b>	<b>0.25</b>	<b>2.00</b>	<b>2.00</b>	<b>46.25</b>	<b>208.00</b>					<b>579.60</b>



FY2024 (in \$Million)

University of North Texas

Summary by Funding Source

		Prior Yrs	2023	2024	2025	2026	2027+	Total
HEF	HEF	26.50	7.00	2.00	-	-	-	35.50
HEF Reserves	HEF Res	-	-	-	-	-	-	-
Capital Construction Assistance Project Bonds	CCAP	5.40	17.00	43.00	27.00	21.00	-	113.40
Commercial Paper	CP	-	-	-	-	-	-	-
Revenue Financing System Bonds	RFS	17.40	12.25	20.00	30.00	18.50	-	98.15
Auxiliary Revenue	AUX	6.10	3.37	1.25	2.35	-	-	13.07
Grants	GRNT	-	-	-	-	-	-	-
Student Fees	SF	-	1.00	-	-	-	-	1.00
Housing Revenue	HR	1.42	-	-	2.26	-	-	3.68
Athletics Revenue	AR	-	-	-	-	-	-	-
Gift/Donations	GIFT	0.15	-	-	-	-	-	0.15
Annual Budget, Operating and Capital	Local/Cash	-	3.60	1.50	-	-	-	5.10
Energy Savings	ES	-	-	-	-	-	-	-
Other Outside Funding	Other	-	-	-	-	-	-	-
Unknown Funding Source	UNK	-	-	-	-	-	-	-
<b>Total</b>		<b>56.97</b>	<b>44.22</b>	<b>67.75</b>	<b>61.61</b>	<b>39.50</b>	<b>0.00</b>	<b>270.05</b>

FY2024 (in \$Million)

University of North Texas Dallas

Proj. No.	Project	Funding Source	Projected Repayment Source (if applicable)	Prior Yrs Budget Authorization	2024	2025	2026	2027	2028+	Total Project Budget Authorization	
<b>Previously Approved Projects:</b>											
<b>System OFPC Managed Projects</b>											
22-02-2201	STEM Building	CCAP	LA	15.00	15.00	30.00	40.00			100.00	
				<b>Previously Approved Projects Authorized Total</b>	<b>15.00</b>	<b>15.00</b>	<b>30.00</b>	<b>40.00</b>	<b>-</b>	<b>-</b>	<b>100.00</b>
<b>New Projects for Approval:</b>											
				<b>New Projects for Approval Authorized Total</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
				<b>Authorized Capital Improvement Plan Total</b>	<b>15.00</b>	<b>15.00</b>	<b>30.00</b>	<b>40.00</b>	<b>-</b>	<b>-</b>	<b>100.00</b>

Future Projects

Proj. No.	Project	Funding Source	Projected Repayment Source	Prior Yrs	2024	2025	2026	2027	2028+	Total	
<b>Planned Priority Projects:</b>											
	Second Residence Hall	RFS	HR			14.00	19.00	7.00		40.00	
	Police Academy	GIFT			1.00	30.00	40.00	40.00	14.00	125.00	
	Sports Fields	GIFT			0.50	20.00	50.00	10.50		81.00	
	Business and Information Technology Building	CCAP	LA						129.00	129.00	
				<b>Planned Priority Projects with Identified Funding Sources Total</b>	<b>-</b>	<b>1.50</b>	<b>64.00</b>	<b>109.00</b>	<b>57.50</b>	<b>143.00</b>	<b>375.00</b>
<b>Other Potential Upcoming Projects:</b>											
<b>New Construction:</b>											
	Event Center	GIFT								65.00	
	Parking Garage	UNK								30.00	
				<b>Other Potential Upcoming Projects Total</b>						<b>95.00</b>	
				<b>Planned &amp; Potential Upcoming Projects Total</b>						<b>470.00</b>	

Summary by Funding Source

		Prior Yrs	2024	2025	2026	2027	2028+	Total
HEF	HEF	-	-	-	-	-	-	-
HEF Reserves	HEF Res	-	-	-	-	-	-	-
Capital Construction Assistance Project Bonds	CCAP	15.00	15.00	30.00	40.00	-	-	100.00
Commercial Paper	CP	-	-	-	-	-	-	-
Revenue Financing System Bonds	RFS	-	-	-	-	-	-	-
Auxiliary Reserves	AUX	-	-	-	-	-	-	-
Grants	GRNT	-	-	-	-	-	-	-
Student Fees	SF	-	-	-	-	-	-	-
Housing Revenue	HR	-	-	-	-	-	-	-
Gift/Donations	GIFT	-	-	-	-	-	-	-
Annual Budget, Operating and Capital	Local/Cash	-	-	-	-	-	-	-
Energy Savings	ES	-	-	-	-	-	-	-
Other Outside Funding	Other	-	-	-	-	-	-	-
Unknown Funding Source	UNK	-	-	-	-	-	-	-
<b>Total</b>		<b>15.00</b>	<b>15.00</b>	<b>30.00</b>	<b>40.00</b>	<b>0.00</b>	<b>0.00</b>	<b>100.00</b>



FY2024 (in \$Million)

University of North Texas Health Science Center

Proj. No.	Project	Funding Source	Projected Repayment Source (if applicable)	Prior Yrs Budget Authorization	2024	2025	2026	2027	2028+	Total Project Budget Authorization
<b>Previously Approved Projects:</b>										
<b>System OFPC Managed Projects</b>										
<b>Hybrid Managed Projects</b>										
22-03-2203	Campus Space Optimization & Realignment Project EAD Floor 2, 4 IREB 2,3,4 RES Floors 1,3 Library Floors 2,3,4 Health Pavilion Floors 1,6 CBH Floor 5 MET Floor 4 Facilities Services Building	CCAP	LA	15.00	20.00	15.00	9.89			63.39
		HEF		3.50						
<b>UNT HSC Facilities Managed Projects</b>										
<b>Previously Approved Projects Authorized Total</b>				18.50	20.00	15.00	9.89	-	-	63.39
<b>New Projects for Approval:</b>										
<b>New Projects for Approval Authorized Total</b>				-	-	-	-	-	-	-
<b>Authorized Capital Improvement Plan Total</b>				18.50	20.00	15.00	9.89	-	-	63.39

Future Projects

Proj. No.	Project	Funding Source	Projected Repayment Source	Prior Yrs	2024	2025	2026	2027	2028+	Total
<b>Planned Priority Projects:</b>										
	Space Optimization Phase 2	CCAP	LA						60.00	60.00
<b>Planned Priority Projects with Identified Funding Sources Total</b>				-	-	-	-	-	60.00	60.00
<b>Other Potential Upcoming Projects:</b>										
<b>New Construction:</b>										
	Academic Building									45.00
	Multipurpose Research Facility									90.00
<b>Other Potential Upcoming Projects Total</b>										135.00
<b>Planned &amp; Other Potential Upcoming Projects Total</b>										195.00

Summary by Funding Source

		Prior Yrs	2024	2025	2026	2027	2028+	Total
HEF	HEF	3.50	-	-	-	-	-	3.50
HEF Reserves	HEF Res	-	-	-	-	-	-	-
Capital Construction Assistance Project Bonds	CCAP	15.00	20.00	15.00	9.89	-	-	59.89
Commercial Paper	CP	-	-	-	-	-	-	-
Revenue Financing System Bonds	RFS	-	-	-	-	-	-	-
Auxiliary Reserves	AUX	-	-	-	-	-	-	-
Grants	GRNT	-	-	-	-	-	-	-
Student Fees	SF	-	-	-	-	-	-	-
Housing Revenue	HR	-	-	-	-	-	-	-
Gift/Donations	GIFT	-	-	-	-	-	-	-
Annual Budget, Operating and Capital	Local/Cash	-	-	-	-	-	-	-
Energy Savings	ES	-	-	-	-	-	-	-
Other Outside Funding	Other	-	-	-	-	-	-	-
Unknown Funding Source	UNK	-	-	-	-	-	-	-
<b>Total</b>		18.50	20.00	15.00	9.89	0.00	0.00	63.39

FY2024 (in \$Million)

University of North Texas System

Proj. No.	Project	Funding Source	Prior Yrs Budget Authorization	2024	2025	2025	2027	2028+	Total Project Budget Authorization
<b>Previously Approved Projects:</b>									
<b>System OFPC Managed Projects</b>									
			<b>Previously Approved Projects Total</b>	-	-	-	-	-	-
<b>New Projects for Approval:</b>									
			<b>New Projects for Approval Authorized Total</b>	-	-	-	-	-	-
<b>Planned Projects with Identified Funding Sources:</b>									
			<b>Planned Projects with Identified Funding Sources Total</b>	-	-	-	-	-	-
			<b>Capital Improvement Plan Total</b>	-	-	-	-	-	-

Potential Upcoming Projects

New Construction:

Renovation:

Summary by Funding Source

	Funding Source	Prior Yrs Budget Authorization	2024	2025	2026	2027	2028+	Total Budget Authorization
HEF	HEF	-	-	-	-	-	-	-
Tuition Revenue Bonds	TRB	-	-	-	-	-	-	-
Commercial Paper	CP	-	-	-	-	-	-	-
Revenue Financing System Bonds	RFS	-	-	-	-	-	-	-
Auxiliary Reserves	AUX	-	-	-	-	-	-	-
Grants	GRNT	-	-	-	-	-	-	-
Student Fees	SF	-	-	-	-	-	-	-
Housing Revenue	HR	-	-	-	-	-	-	-
Gift/Donations	GIFT	-	-	-	-	-	-	-
Annual Budget, Operating and Capital	Local/Cash	-	-	-	-	-	-	-
<b>Total</b>			<b>0.00</b>	<b>0.00</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>0.00</b>



## Board Order 2023-

---

**Title:** Approval of Minutes of the August 17, 2023, Board Meeting

---

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 6, 2023, pursuant to a motion made by Regent \_\_\_\_\_ and seconded by Regent \_\_\_\_\_, the Board approved the motion presented below:

Whereas, the minutes of the August 17, 2023, Board Meeting have been prepared by the Board Secretary and attached here for Board approval.

Now, Therefore, The Board of Regents authorizes and approves the following:

1. The minutes of the August 17, 2023, Board Meeting
- 

**Board Action:**

VOTE: \_\_\_\_\_ ayes \_\_\_\_\_ nays \_\_\_\_\_ abstentions

Attested By:

Approved By:

---

Rachel Barone, Secretary  
Board of Regents

---

Laura Wright, Chair  
Board of Regents



---

**MINUTES**  
**BOARD OF REGENTS MEETING**  
**August 17, 2023**

**Thursday, August 17, 2023**

The University of North Texas System Board of Regents convened on Thursday, August 17, 2023, at the University of North Texas at Dallas, Student Center, Campus Hall, Room 1050, 7300 University Hills Blvd, Dallas, Texas, with the following Regents in attendance: Melisa Denis, Mary Denny, Carlos Munguia, Lindy Rydman, John Scott, Laura Wright, and Serah Sulaiman. The meeting was livestreamed for public viewing.

In accordance with a notice being duly posted with the Secretary of State and there being a quorum present, Chair Wright called the meeting to order at 8:16 a.m.

Chair Wright began the meeting by welcoming the new student regent, Serah Sulaiman, to the Board of Regents.

Next, Chair Wright noted that Regents Rule 03.202 calls for the election of officers of the Board of Regents to take place at the August meeting held in odd numbered years. Chair Wright then asked Audit Committee Chair Melisa Denis to Chair the elections of board officers.

Regent Denis asked for nominations of individuals to serve as Vice Chair. Regent Lindy Rydman nominated Regent Carlos Munguia and Regent Mary Denny seconded the nomination. Regent John Scott nominated Regent Ashok Mago for Vice Chair. Following a 5-1 vote, Regent Carlos Munguia was elected Vice Chair.

Following the election of Vice Chair, Regent Denis asked for nominations of individuals to serve as Chair. Regent Carlos Munguia nominated Laura Wright. The nomination was seconded by Regent Lindy Rydman. Regent Laura Wright was the sole nomination and re-elected Chair by a unanimous vote of 6-0. The Chair and Vice Chair will assume their duties as elected officers of the Board of Regents.

Chair Wright asked Chancellor Williams to make opening remarks on progress since the last quarterly board meeting.

For **Spotlight on Students**, UNT Dallas President Bob Mong introduced a panel of UNT Dallas alumni: Briona Green, Jorge Ortega, Luis Mata, Makayla Deleon, and Rosio Manriquez. The panel discussed with the Board how the UNT Dallas Trailblazer Elite Program helped foster growth and learning and prepared them to enter the workforce. The students then entertained questions from the Board of Regents.



Chair Wright then asked each campus President to provide a campus update to the Board. UNT Dallas President Bob Mong, UNT President Neal Smatresk, and UNTHSC President Sylvia Trent-Adams each gave an update for their respective campuses.

Chair Wright then recessed the Board at 9:29 a.m. for the meetings of the Audit, Finance, Strategic Infrastructure, and Student Success, Academic and Clinical Affairs Committees.

Following the Committee meetings, the Board reconvened at 1:42 p.m. and considered the following items on the Consent Agenda:

- 2023-39 UNTS**      **Approval of the Minutes of the May 18, 2023, Board Meeting, June 30, 2023, Special Called Meeting, and July 28, 2023, Special Called Meeting**
- 2023-40 UNTS**      **Thirty-First Supplemental Resolution to the Master Resolution Authorizing the Issuance, Sale and Delivery of Board of Regents of the University of North Texas System Revenue Financing System Bonds, in One or More Series; and Approving and Authorizing Instruments and Procedures Relating Thereto**
- 2023-41 UNTS**      **Resolution Declaring Intention to Reimburse Certain Expenditures with Proceeds from Debt**
- 2023-42 UNTS**      **Approval of the Internal Audit Charter**
- 2023-43 UNTS**      **Approval of Policies at the University of North Texas and the University of North Texas at Dallas**
- 2023-44 UNT**        **Approval of Tenure for New UNT Faculty Appointees**
- 2023-45 UNT**        **Approval to Change the Name of New College to College of Applied and Collaborative Studies**
- 2023-46 UNTHSC**   **Approval of Tenure for New UNTHSC Faculty Appointee**
- 2023-47 UNTD**      **Approval of Tenure for New UNT Dallas Faculty Appointee**

Pursuant to a motion by Regent John Scott and seconded by Regent Carlos Munguia, the Board approved the Consent Agenda on a 6-0 vote.

Next, the Board considered the following action items coming out of committees:

***Audit Committee Items***

- 2023-48 UNTS**      **Approval of the Internal Audit FY24 Plan**

Pursuant to a motion by Regent Melisa Denis, and seconded by Regent John Scott, the Board approved the above Audit Committee action item. The motion was approved on a 6-0 vote.

***Finance Committee Items***

- 2023-49 UNTS**      **Approval of the FY24 UNT System Consolidated Operating Budget**
- 2023-50 UNTS**      **Resolution Reinstating the Maximum Issuance Authorization of University of North Texas System Revenue Financing System Commercial Paper Notes, Series A, and Amendments to Regents Rule 10.300, Debt Management**

Pursuant to a motion by Regent Carlos Munguia, and seconded by Regent John Scott, the Board approved the above action item on a 6-0 vote.

***Strategic Infrastructure Committee***

**2023-51 UNTS      Approval of the UNT System FY24 Capital Improvement Plan**

Pursuant to a motion by Regent John Scott, and seconded by Regent Mary Denny, the Board approved the above action item on a 6-0 vote.

***Student Success, Academic and Clinical Affairs Committee Items***

**2023-52 UNT      Approval to add the UNT Embedded Associate of Science Degree Program with a Major in Hospitality Management**

**2023-53 UNTD      Approval to Add the UNT Dallas Bachelor of Applied Science Program with a Major in Emergency Services Administration**

**2023-54 UNTHSC      Approval to add the University of North Texas Health Science Center (HSC) Bachelor of Science Degree with a Major in Nursing (RN to BSN)**

**2023-55 UNTHSC      Approval and Ratification of the University of North Texas Health Science Center Admission Standards for the Bachelor of Science Degree with a Major in Nursing (RN to BSN)**

**2023-56 UNTHSC      Approval to add the University of North Texas Health Science Center (HSC) Master of Science Degree with a Major in Nursing Practice Innovation**

**2023-57 UNTHSC      Approval and Ratification of the University of North Texas Health Science Center Admission Standards for the Master of Science Degree with a Major in Nursing Practice Innovation**

Pursuant to a motion by Regent Carlos Munguia and seconded by Regent Mary Denny, the Board approved the above Student Success, Academic and Clinical Affairs Committee action items. The motion was approved on a 6-0 vote.

At 1:46 p.m. Chair Wright moved the Board into Executive Session to consider matters noted on the Executive Session agenda in accordance with Texas Government Code Sections 551.071, .072, .073, .074, .076, and 089.

The Board reconvened in open session at 5:46 p.m. and considered one action item.

**2023-58 UNTS      Revisions to Regents Rules 06.1000, 06.1100, and 06.1200**

Pursuant to a motion by Regent Melisa Denis, and a second to the motion by Regent John Scott, the Board approved the above action item on a 6-0 vote.

There being no further business, the Board meeting was adjourned at 5:48 p.m. on Friday, August 17, 2023.

Submitted By:



\_\_\_\_\_  
Rachel Barone, Board Secretary  
Board of Regents

Date: Oct 23, 2023

Approved By:

\_\_\_\_\_  
Laura Wright, Chair  
Board of Regents

Date: \_\_\_\_\_



## Board Briefing

---

**Committee:** Consent

**Submission Date:** September 29, 2023

**Title:** Approval of UNT Emeritus Recommendations

---

### **BACKGROUND SUMMARY:**

UNT Policy 06.013, *Conferring of Emeritus Status*, states that upon the recommendation of the unit through the provost to the president, the title “Emeritus Professor” may be conferred by the Board of Regents to a faculty member or librarian at the time of retirement.

Emeritus status is recommended for the following individuals:

#### **Samuel Atkinson – Regents Professor, Biological Sciences, College of Science**

Dr. Atkinson joined the Department of Biological Sciences as an assistant professor in 1986, rising to the rank of Regents Professor before his retirement in September 2023. He held numerous leadership roles throughout his UNT career, including serving as director of UNT’s Advanced Environmental Research Institute from 2008-2019, chairing the Department of Environmental and Occupational Health from 2002-2004, and serving as acting chair of Biological Sciences in 2007 and again from 2012 to 2014. He excelled in teaching and led UNT’s successful proposal to the Texas Higher Education Coordinating Board for a graduate program in Environmental Science. His achievements in studying human influences on the environment have been widely recognized by UNT and leading professional organizations. He earned UNT’s Decker Scholar Award in 1997, and in 2003, he was the recipient of the National Environmental Excellence Award from the National Association of Environmental Professionals. He was appointed by the U.S. Secretary of Defense to serve two terms on the Environmental Advisory Board for the U.S. Army Corps of Engineers. In addition to elevating UNT’s national profile, he supported its flourishing research efforts through a remarkable 38 consecutive years of funding — \$8.4 million in total — from prestigious organizations including National Aeronautics and Space Administration, Environmental Protection Agency, Army Corps of Engineers, National Science Foundation, and the Trinity River Authority.

#### **Li-Fen Anny Chang – Associate Professor, College of Visual Arts and Design**

For 22 years, Professor Chang was an inspiring and creative designer, teacher, and leader in fashion education at UNT. In her tenure with College of Visual Arts and Design (CVAD), she actively engaged graduate and undergraduate students in her areas of expertise: draping, couture sewing, construction, personal fitting, and patternmaking. Her mentorship was exemplary and consistent, with many of her students finding long-term career success in the fashion design industry. She regularly advised on master’s theses in the M.F.A. program and sponsored more than 200 award-winning students at national and international competitions and conferences. She has exhibited her research and scholarly creative work in more than seventy-five distinguished venues and earned more than 150 individual awards and recognitions. Professionally, Ms. Chang’s excellence in design and technical prowess have been internationally recognized by renowned industry leaders including the International Textile and Apparel Association, the Bridge for Emerging Contemporary Art, and Queen Sirikit Institute of Thailand Sericulture in Bangkok. Her legacy, leadership, and creative contributions can be seen not only in the continued growth and success of UNT’s fashion design program, but throughout CVAD. Ms. Chang retired in August 2022.

### **Shobhana Chelliah – Distinguished Research Professor and Associate Dean, College of Information**

Dr. Chelliah retired from UNT as associate dean of research and development in December 2022 after 26 years of service. A remarkably productive scholar-educator in the Department of Linguistics, she published several monographs and edited volumes and approximately 50 articles and book chapters. This is particularly impressive given that the subject of her scholarship — endangered languages in remote areas of South Asia — requires extensive, time-consuming fieldwork. In addition to her traditional scholarship, Dr. Chelliah established a digital archive called the Computational Resource for South Asian Languages (CoRSAL), which collects multimedia materials on low-resource languages from scholars around the world and makes them freely available to scholars and native speaker communities. Her record of outstanding scholarship earned her the designation of Distinguished Research Professor in 2020. Dr. Chelliah also excelled in teaching and was highly rated among undergraduate and graduate students alike, serving as advisor and committee member for many master's and doctoral students. She secured numerous grants from the National Science Foundation and other national agencies, including the National Endowment for the Humanities and the American Council of Learned Societies. From 2012 to 2015, she served as program director for the Endangered Languages Program at the National Science Foundation.

### **Randall Cox – Clinical Professor, College of Liberal Arts and Social Sciences**

Dr. Cox directed UNT's Psychology Clinic and served as a clinical professor in the Department of Psychology for more than 25 years. He earned his Ph.D. in Clinical Psychology from UNT in 1994 and worked as a staff psychologist for the Dallas Veterans Administration Medical Center before returning to UNT as a faculty member in 1997. Dr. Cox dedicated his career to training hundreds of future clinical and counseling psychologists as well as providing and supervising vital services to the most vulnerable members of the Denton and North Texas communities. Under his strategic and visionary leadership, the once-struggling UNT Psychology Clinic grew into one of the largest and most-respected training clinics in the country. Dr. Cox served as interim director of clinical training for UNT's Clinical Psychology Ph.D. program from 2008 to 2010 and as associate chair from 2010 to 2020. At the national level, he was a two-term member of the Commission on Accreditation for the American Psychological Association, co-chaired the Committee on Diversity Training Issues in the Association of Psychology Training Clinics (APTC) for more than a decade, and received the APTC's prestigious Jean Spruill Achievement Award. Dr. Cox retired in June 2023.

### **Rebecca Dickstein – Professor, College of Science**

Dr. Dickstein served UNT's Department of Biological Sciences for 22 years before retiring in October 2022, opting for modified service. A leading biochemist, Dr. Dickstein joined UNT in 2000 as a tenured associate professor. Her arrival added a new area of biological research in nodulation to UNT's Biochemistry program. Over the years, with funding from the National Science Foundation (NSF), her research resulted in more than 40 publications and one patent. She also contributed to research infrastructure development at UNT via her involvement in Major Research Instrumentation grant submissions to the NSF. Dr. Dickstein was one of the founding members of the Plant Signaling Cluster, which morphed into the BioDiscovery Institute in 2015. She was a tough but beloved teacher who spent hours writing recommendation letters and mentoring graduates and undergraduates. She received numerous awards at UNT, including the Teacher Scholar Award and the UNT McNair Scholars Program Outstanding Service Award. In 2021, she was honored by the Native Plant Society of Texas with a State Board of Appreciation recognition for her advocacy of native plants. Her service at UNT included co-chairing the Faculty Senate Committee on the Status of Women and serving as vice chair and chair of the Personnel Affairs Committee in UNT's College of Arts and Sciences.

### **Bonnie Friedman – Associate Professor, College of Liberal Arts and Social Sciences**

Professor Friedman was already an accomplished writer when she joined UNT in 2008, having published — among other notable works — a hugely influential book on the writing process, *Writing Past Dark: Envy, Fear, Distraction, and Other Dilemmas in the Writer's Life*. At UNT, she continued to publish numerous essays and short stories in top venues. She also wrote *Surrendering Oz: A Life in Essays*, a well-reviewed memoir that formed the cornerstone of her application for tenure in 2014. Professor Friedman was on target for another promotion when she decided to retire in 2020. In addition to being a respected and successful writer, she also was a terrific teacher, evidenced by outstanding SPOT scores and enthusiastic praise from students. The department honored her work in the classroom with the David Kesterson Outstanding Graduate Teaching Award in 2015, and she was the 2020 recipient of UNT's Creative Impact Award, which is given to a faculty member whose publications, performances, or exhibitions in the literary or creative arts

have had the greatest social impact. Her new novel has been acquired by the prestigious English publishers Etruscan Editions and is forthcoming in spring 2025.

### **Kamakshi Gopal – Professor, College of Health and Public Service**

Dr. Gopal dedicated 30 years to UNT's Department of Audiology and Speech-Language Pathology, serving with the highest level of commitment to research, service, and teaching. When she began as an assistant professor in 1993, she expanded the audiology clinic to offer the fitting and dispensing of hearing aids and hired the first full-time dispensing audiologist to grow the patient base and clinical revenue. She also garnered funding to purchase important equipment to conduct objective test measures, laying the foundation for the busy and successful clinic which now serves the community and provides clinical practicum experiences for UNT students. Long before it was standard practice, Dr. Gopal enhanced her courses with laboratory components to provide her students with authentic, hands-on learning experiences that would prepare them for career success. She served as a major advisor or dissertation committee member for 49 doctoral students, many of whom contributed directly to UNT's classification as a Tier One research institution. She served as department chair for the last six years of her career, with notable achievements in mentoring junior faculty, securing the department's reaccreditation, and building a program lauded for its clinical strengths. Dr. Gopal retired in August 2023 and will continue to work with the department in a modified service capacity.

### **Bharath Josiam – Professor, College of Merchandising, Hospitality and Tourism**

Dr. Josiam served UNT's Department of Hospitality, Events and Tourism Management for 21 years. He demonstrated excellence in all areas of academia — teaching, research, service, and outreach — and was committed to growing the positive reputation of his department and UNT. A dedicated educator and internationally renowned researcher, Dr. Josiam enhanced UNT's reputation across the globe with high-impact papers in interdisciplinary and multi-national projects examining consumer behavior in hospitality, tourism, and education. He published 68 articles in peer-reviewed journals, presented more than 100 papers at international conferences, and was frequently invited to give keynote lectures, review dossiers, and serve on committees for professional organizations. His years at UNT were marked by thoughtful leadership, mentorship, and collaboration on research projects with students, faculty, and scholars worldwide. He also made strong contributions to the academic community as a reviewer for conferences, journals, and doctoral dissertations. His passion for his classes, his students, and his field were evident every day. Dr. Josiam retired in February 2023 but continues to collaborate on research projects with students and faculty, publishing in journals to ensure that their efforts are recognized.

### **Marijn Kaplan – Professor, College of Liberal Arts and Social Sciences**

Dr. Kaplan joined UNT as an assistant professor of French in 2002, rising to the rank of associate professor with tenure in 2008 before becoming a professor in 2014. An internationally recognized scholar and researcher in 17th- and 18th-century French literature, Dr. Kaplan published a 2020 monograph with the peer-reviewed academic publisher Routledge, Taylor & Francis Group, the only faculty member in her department to do so since 2015, as well as four scholarly editions. She presented her research at 33 conferences around the world, often in a leadership role or as an invited speaker. She also made significant contributions as an educator, teaching 11 different undergraduate courses and five graduate courses, serving on 15 thesis committees, and directing two master's theses. Her tenure as department chair from 2015 to 2023 was marked by numerous successes, including the addition of American Sign Language and Korean, the reinstatement of Latin, the creation of UNT's ultra-popular major in Japanese, and the four-time acquisition of the biggest grant in department history — the \$90,000 StarTalk grant from the U.S. Department of State. Dr. Kaplan retired in August 2023 and continues her work as a scholar and journal editor.

### **Daniel Kunz – Professor, College of Science**

Dr. Kunz joined UNT as an associate professor in 1987, bringing a wealth of industrial experience at a time when UNT was pushing for increased research activity. He was promoted to professor in 1999. For more than 20 years, Dr. Kunz's research in cyanide assimilation in bacteria, funded by the National Science Foundation and the Texas Higher Education Coordinating Board, has resulted in more than 25 publications, two patents, several presentations at conferences, and 12 successful master's and doctoral mentees. He also participated in collaborative work addressing the impact of urbanization on water quality in the Trinity River watershed, a project that was funded by the Environmental Protection Agency. Dr. Kunz taught numerous courses and provided invaluable research opportunities for undergraduate students, nurturing

the next generation of aspiring scientists and researchers. He also provided substantial service to the department and the university, serving as the chair of the Division of Biochemistry and Molecular Biology, the graduate advisor for the Biochemistry and Molecular Biology program, and a member of department PACs, promotion and tenure committees, and various faculty search committees. At the university level, he served on UNT's Institutional Biosafety Committee, Intellectual Property Disclosure Committee, Faculty Workload Committee, and Animal Care Committee. Dr. Kunz retired in August 2023.

### **Melinda Levin – Professor, College of Liberal Arts and Social Sciences**

In addition to being a respected documentary filmmaker, Melinda Levin was an accomplished professor of Media Arts at UNT for 27 years. Professor Levin was integral to the creation of UNT's M.F.A. program in Documentary Production and served as its director for many years, mentoring and providing thesis direction for countless M.F.A. students. She served as chair of the Department of Radio Television and Film (RTVF) from 2007 to 2011 and has chaired or served on almost every committee in the department. She is president of the University Film and Video Association. She also co-authored the book *POST: The Theory and Technique of Digital, Nonlinear Motion Picture Editing*. More recently, she earned a competitive fellowship from the MIT Enterprise Forum in support of her work to design web applications for next-generation location-based reporting and storytelling. Professor Levin has produced, directed, edited, and photographed documentaries around the world, and her works have been screened on PBS and at film festivals, the Museum of Modern Art, and multiple U.S. Embassies. As part of her commitment to global outreach, consulted for NATO on their Science for Peace and Security series and served on the U.S. Department of State's Speakers Bureau, traveling to northern Afghanistan, Tajikistan, Thailand, and Vietnam. Professor Levin retired in September 2023.

### **Janelle Mathis – Professor, College of Education**

Dr. Mathis joined UNT in 1997 and was a professor in the Department of Teacher Education and Administration from 2016 until her retirement in September 2023. She taught undergraduate courses in literacy and literature as well as doctoral courses, chairing 18 doctoral student committees and serving on numerous other committees. Her research on children's and adolescent literature and its global impact in areas such as reader response, critical literacy, and sociocultural identities was recognized internationally. Dr. Mathis was selected to serve on six major children's literature award committees and co-authored two books on critical content analysis that are widely used by scholars to support their work in children's literature. Her work spanned national and global venues through conferences, published articles, and book chapters. Additionally, she served as president of both the Children's Literature Special Interest Group and the United States Board on Books for Young People. Dr. Mathis was asked to serve on the Initial Editorial Board for *Libri and Liberi*, a Croatian research journal on children's literature that is highly respected in European venues. In addition to representing UNT in her children's literature engagements, she also served in many roles with the Literacy Research Association, a nonprofit dedicated to advancing lifespan literacies in a multicultural and multilingual world.

### **Daniel Peak – Professor, G. Brint Ryan College of Business**

A UNT alum, Dr. Peak joined the faculty in the Department of Information Technology and Decision Sciences in 2001 and was promoted to the rank of professor in 2017. His research is characterized by a spirit of interdisciplinary collaboration with faculty and doctoral students, with an extensive publication record including conference proceedings, book chapters, and more than 70 articles in top industry journals. Dr. Peak has taught a variety of courses at undergraduate and graduate levels in addition to numerous directed studies courses for undergraduate, master's and doctoral students. He has supervised several doctoral students and served on more than 25 dissertation committees. His introductory business communications course has earned a reputation among G. Brint Ryan College of Business (RCOB) students as one of the most enjoyable and impactful classes at UNT. In 2013, Dr. Peak received the 2013 College of Business Teaching Innovation Award. He has remained an active leader at both the university and college levels, serving on the UNT Faculty Senate, the Senate Executive Committee, the UNT Graduate Council and the Union Advisory Board. He also served as the director of the UNT Innovation Think Tank and as the faculty advisor for the RCOB Professional Leadership Program. Dr. Peak retired in September 2023.

### **Nancy Spears – Professor, G. Brint Ryan College of Business**

Dr. Spears' 22 years in the Department of Marketing were characterized by servant leadership and a deep commitment to student success. She was a McNair Scholars mentor and supervised two Honors College theses, chaired eight successful doctoral dissertations and served on 15 doctoral committees. In 2005 she

was recognized with the Outstanding Teacher of the Year by the Council of Business Students. Her Ph.D. students have earned placements in prestigious schools around the world. Widely recognized as an expert in advertising and consumer behavior, Dr. Spears has elevated UNT's research profile through her prolific scholarship, authoring a total of 53 peer-reviewed articles — the majority of which focused on advertising, consumer decision making, and behavior and branding — and delivering more than 42 presentations at national and international conferences. Dr. Spears has been recognized nationally and internationally for contributions to the body of thought in the field of advertising. In 2008, she was rated 16th out of 1,566 authors in terms of contributions to the industry's top three journals: *Journal of Advertising*, *Journal of Advertising Research*, and *Journal of Current Issues and Research in Advertising*. Dr. Spears retired as a tenured professor in December 2022.

### **Murali Varanasi – Professor, College of Engineering**

Dr. Varanasi joined UNT in 2004 as the founding chair of the Department of Electrical Engineering. Drawing upon his extensive experience, he devoted tremendous effort to establish and nurture the nascent department and elevate UNT's rapidly growing College of Engineering. Dr. Varanasi's visionary leadership guided various initiatives, from recruiting talented faculty and crafting an innovative, project-oriented curriculum to designing state-of-the-art classrooms and laboratories. He cultivated a robust research team that excels in diverse areas and industrial applications while grounding the department in basic theory and engineering practices. This vision was supported by the new curriculum and grants from the National Science Foundation, including "A Project and Design-Oriented Electrical Engineering Curriculum," for which he served as co-PI, and the Center for Wireless Sensor Networks, a Research Experience for Teachers program he led as principal investigator. Dr. Varanasi is a fellow of the premier professional organization in his field, the Institute of Electrical and Electronics Engineers (IEEE) — a distinct recognition as IEEE has a stricter review process for fellow nominees than most professional engineering organizations. He also received the Richard E. Merwin Distinguished Service Award and the IEEE Third Millennium Medal. Dr. Varanasi retired in May 2023.

### **Mary Ann Venner – Associate Dean, UNT Libraries**

Mary Ann Venner served as a librarian at UNT for 22 years. The broad expanse of the Libraries' services as seen today was greatly defined by her work and influence. As associate dean for public services — a role she held for seven years — Ms. Venner was assiduous in her work to serve our university's communities, bringing information about UNT's collections and services to students, staff and faculty and improving access to the resources they need to support their learning, teaching and research. She was instrumental in moving the opening hours of Willis Library to 24/7, improving accessibility for students with disabilities, creating a series of study periods and seminars for graduate students working on their dissertations, providing book delivery to faculty offices, improving UNT's interlibrary loan system, and removing a system of prohibitively expensive fines for overdue materials. In her last two years at UNT, Ms. Venner was deeply involved with the Frisco Program Planning Committee, and her influence can be found in every detail of Frisco Landing's beautiful, efficient library and complementary makerspace. She mentored dozens of public services librarians during her career and always prioritized the student experience. Ms. Venner retired in the spring of 2023.

### **PURPOSE:**

The goal of the recommendation is to recognize faculty and librarians who have exhibited outstanding performance during their employment and achieved a high level of professional recognition.

### **ASSESSMENT:**

Regents Rule 06.303, *Emeritus Appointments*, states that the Board may confer the designation of "Emeritus Professor" to faculty members after their retirement from full-time faculty employment.

### **FINANCIAL IMPLICATIONS/TIMELINE:**

There are no financial implications. Effective upon approval by the Board of Regents.



Attested By:

Clayton Gibson

Clayton Gibson (Oct 24, 2023 08:03 CDT)

Clayton Gibson  
Institutional Chief Financial Officer

**PROPOSED BOARD ACTION:**

The President recommends that the Board of Regents grant Emeritus status to these distinguished retirees.

---

**Legal Approval:**

Alan Stucky

Alan Stucky  
General Counsel

**Recommendation for Approval:**

Neal Smatresk

Neal Smatresk (Oct 24, 2023 08:37 CDT)

Neal Smatresk  
UNT President

Susan Alanis

Susan Alanis (Oct 23, 2023 19:47 CDT)

Susan Alanis  
Deputy Chancellor,  
Finance and Operations

Michael R. Williams

Michael R. Williams  
Chancellor



## Board Order 2023-

---

**Title:** Approval of UNT Emeritus Recommendations

---

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 6, 2023, pursuant to a motion made by Regent \_\_\_\_\_ and seconded by Regent \_\_\_\_\_, the Board approved the motion presented below:

Whereas, Regents Rule 06.303, *Emeritus Appointments*, states that the Board may confer the designation of “Emeritus Professor” to faculty members after their retirement from full-time faculty employment, and

Whereas, UNT Policy 06.013, *Conferring of Emeritus Status*, states upon the recommendation of the unit through the provost to the president, the title “Emeritus Professor” may be conferred by the Board of Regents to a faculty member or librarian at the time of retirement,

Whereas, the faculty members listed meet the eligibility requirements and are being recommended by the president.

Now, Therefore, The Board of Regents authorizes and approves the following:

1. Dr. Samuel Atkinson, Regents Professor Emeritus
2. Ms. Li-Fen Anny Chang, Professor Emerita
3. Dr. Shobhana Chelliah, Distinguished Research Professor Emerita
4. Dr. Randall Cox, Clinical Professor Emeritus
5. Dr. Rebecca Dickstein, Professor Emerita
6. Dr. Bonnie Friedman, Associate Professor Emerita
7. Dr. Kamakshi Gopal, Professor Emerita
8. Dr. Bharath Josiam, Professor Emeritus
9. Dr. Marjin Kaplan, Professor Emerita
10. Dr. Daniel Kunz, Professor Emeritus
11. Ms. Melinda Levin, Professor Emerita
12. Dr. Janelle Mathis, Professor Emerita
13. Dr. Daniel Peak, Professor Emeritus
14. Dr. Nancy Spears, Professor Emerita
15. Dr. Murali Varanasi, Professor Emeritus
16. Ms. Mary Ann Venner, Librarian Emerita

---

**Board Action:**

VOTE: \_\_\_\_\_ ayes \_\_\_\_\_ nays \_\_\_\_\_ abstentions

Attested By:

Approved By:

---

Rachel Barone, Secretary  
Board of Regents

---

Laura Wright, Chair  
Board of Regents



## Board Briefing

---

**Committee:** Consent

**Submission Date:** September 29, 2023

**Title:** Approval of Tenure for New UNT Faculty Appointee

---

### **BACKGROUND SUMMARY:**

UNT Policy 06.004, IV, *Faculty Reappointment, Tenure, Promotion, and Reduced Appointments, Expedited Tenure* states: On rare occasions, the university may need to expedite the tenure/promotion process for a candidate. Examples of said occasions include: (a) an incoming faculty member/administrator who holds tenure or has held tenure at a peer or aspirant university, (b) an incoming faculty member/administrator who has not held tenure at a peer or aspirant university but whose record and reputation warrant tenure, or (c) in cases of counteroffers when the faculty member has been offered tenure/promotion at a peer or aspirant university. If the candidate receives a positive recommendation from the president, the action is forwarded to the Board of Regents as a consent agenda item.

Therefore, the following new UNT Faculty Appointee is submitted for consideration of tenure for approval by the Board of Regents:

**Dr. Mohsen Amini Salehi** joined the College of Engineering in the Department of Computer Science and Engineering as an associate professor on September 1, 2023. He earned his Master of Science in Software Engineering in 2006 from Ferdowsi University in Mashad, Iran, and his Ph.D. in Computer Science and Software Engineering in 2012 from the University of Melbourne, Australia. Dr. Amini Salehi's research and technology interests are in cloud computing and big data, particularly the areas of virtualization, cloud and big data security, resource allocation, and heterogeneous distributed systems. Dr. Amini Salehi has published more than 70 journal and conference papers and book chapters; with 1,517 citations and an h-index of 23 over his career. He has received more than \$2.7 million in research funding as principal investigator (PI) or co-PI, including the prestigious National Science Foundation CAREER Award. He was granted tenure in 2021 from the University of Louisiana at Lafayette.

### **PURPOSE:**

UNT is committed to supporting a strong faculty dedicated to the mission and strategic goals of the institution through the tenure and promotion process. The faculty member listed above meets the criteria for expedited tenure and, therefore, supports UNT's commitment to sustained excellence in teaching, scholarship, and service.

### **ASSESSMENT:**

As outlined in Regents Rule 06.1001, *Concept and Purpose of Tenure*, upon the recommendation of the President, the Board may confer academic tenure, or continuing appointment. Tenure is designed to accomplish the following purposes: 1. assure the faculty of freedom of teaching, research, opinion, and full participation as citizens in the academic community; 2. assist the Institutions by encouraging sound standards for the selection of faculty; and 3. result in the retention, encouragement, and promotion of the most able and promising faculty.

Furthermore, Regents Rule 03.802.5, *Award of Faculty Tenure*, states that only the Board may confer faculty tenure. The President of each Institution shall forward to the Board through the Chancellor all recommendations for the granting of tenure.

**FINANCIAL IMPLICATIONS/TIMELINE:**

In general, the award of tenure carries with it the assurance of continued employment absent the showing of good cause for termination. Tenure will be effective upon Board approval or on the first day of employment if after the date of Board approval.

Attested By:

*Clayton Gibson*  
Clayton Gibson (Oct 24, 2023 08:03 CDT)  
Clayton Gibson  
Institutional Chief Financial Officer

**PROPOSED BOARD ACTION:**

The president recommends that the Board of Regents authorize and approve the award of tenure for the following individual:

1. Dr. Mohsen Amini Salehi
- 

**Legal Approval:**

*Alan Stucky*  
Alan Stucky  
General Counsel

**Recommendation for Approval:**

*NS*  
Neal Smatresk (Oct 24, 2023 08:37 CDT)  
Neal Smatresk  
UNT President

*Susan Alanis*  
Susan Alanis (Oct 23, 2023 19:47 CDT)  
Susan Alanis  
Deputy Chancellor,  
Finance and Operations

*Michael R. Williams*  
Michael R. Williams  
Chancellor



## Board Order 2023-

---

**Title:** Approval of Tenure for New UNT Faculty Appointee

---

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 6, 2023, pursuant to a motion made by Regent \_\_\_\_\_ and seconded by Regent \_\_\_\_\_, the Board approved the motion presented below:

Whereas, UNT Policy 06.004, IV, states the university may expedite the tenure/promotion for an incoming candidate on rare occasions, and

Whereas, the new faculty appointee listed below has been granted tenure at a peer or aspirant university, and

Whereas, the new faculty appointee listed below has received a positive recommendation from the president, the action is forwarded to the Board of Regents as a consent agenda item.

Now, Therefore, The Board of Regents authorizes and approves the following:

The conferring of tenure effective upon Board approval or on the first day of employment if after the date of Board approval for the following individual:

1. Dr. Mohsen Amini Salehi
- 

**Board Action:**

VOTE: \_\_\_\_\_ ayes \_\_\_\_\_ nays \_\_\_\_\_ abstentions

Attested By:

Approved By:

---

Rachel Barone, Secretary  
Board of Regents

---

Laura Wright, Chair  
Board of Regents



## Board Briefing

---

**Committee:** Full Board

**Submission Date:** 08/24/2023

**Title:** Approval and Adoption of Tenure Policies and Procedures for UNT, UNT Dallas, and UNT Health Science Center

---

### **BACKGROUND SUMMARY:**

The 88th Legislature passed Senate Bill 18 and amended Texas Education Code, Section 51.942 *Faculty Tenure*, effective September 1, 2023. As amended, section 51.942 requires the governing board of an institution of higher education to adopt all policies and procedures regarding tenure, after seeking the advice and comment from the institution's faculty.

### **PURPOSE:**

Each UNT System institution must submit and recommend the institution's faculty tenure policies and procedures to the Board for review, approval, and adoption. A copy of each institution's tenure policies and procedures and any amendments thereto shall be filed with the Texas Higher Education Coordinating Board annually.

### **ASSESSMENT:**

Per section 51.942, tenure policies and procedures must address the granting of tenure, allow for the dismissal of a tenured faculty member at any time after providing the faculty member with appropriate due process on a determination of adequate cause, and provide for a periodic performance review process for all tenured faculty at the institution.

### **FINANCIAL IMPLICATIONS/TIMELINE:**

Institutional policies will be adopted upon Board approval. There are no financial implications.

### **PROPOSED BOARD ACTION:**

Approval and adoption of Tenure Policies for UNT, UNT at Dallas, and UNT Health Science Center

Attachments Filed Electronically:

1. UNT Tenure Policies and Procedures
  2. UNT Dallas Tenure Policies and Procedures
  3. UNTHSC Tenure Policies and Procedures
-


**Legal Approval:**

*Alan Stucky*

---

Alan Stucky  
General Counsel

**Recommendation for Approval:**

  
Neal Smatresk (Oct 24, 2023 08:37 CDT)

---

Neal Smatresk  
UNT President

*Bob Mong*

---

Bob Mong  
UNT Dallas President

*Sylvia Trent-Adams*  
Sylvia Trent-Adams (Oct 24, 2023 14:56 CDT)

---

Sylvia Trent-Adams  
UNTHSC President

*Susan Alanis*  
Susan Alanis (Oct 23, 2023 19:47 CDT)

---

Susan Alanis  
Deputy Chancellor,  
Finance and Operations

*Michael R. Williams*

---

Michael R. Williams  
Chancellor



## Board Order 2023-

---

**Title:** Approval and Adoption of Tenure Policies and Procedures for UNT, UNT Dallas, and UNT Health Science Center

---

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 6, 2023, pursuant to a motion made by Regent \_\_\_\_\_ and seconded by Regent \_\_\_\_\_, the Board approved the motion presented below:

Whereas, Texas Education Code § 51.942, as amended effective September 1, 2023, requires the Board to approve all policies and procedures regarding tenure for each institution under the Board's governance, and

Whereas, the Board has reviewed the tenure policies and procedures for each of its institutions, and

Whereas, the attached tenure policies and procedures comply with Texas Education Code § 51.942 statutory language and requirements,

Now, Therefore, The Board of Regents authorizes and approves the following:

1. The adoption of Tenure policies and procedures for UNT, UNT Dallas, and UNT Health Science Center
- 

**Board Action:**

VOTE: \_\_\_\_\_ ayes \_\_\_\_\_ nays \_\_\_\_\_ abstentions

Attested By:

Approved By:

\_\_\_\_\_  
Rachel Barone, Secretary  
Board of Regents

\_\_\_\_\_  
Laura Wright, Chair  
Board of Regents





**Policy Chapter:** Chapter 6 Academic Affairs

**Policy Number and Title:** 06.004 Faculty Reappointment, Tenure, Promotion, and Reduced Appointments

---

**I. Policy Statement**

UNT is committed to recognizing and rewarding faculty whose work demonstrates sustained excellence in teaching, scholarship, and service through the tenure and promotion process. This policy provides the framework for the development and implementation of unit-level criteria, procedures, and communication processes that support reappointment, tenure, and promotion.

**II. Application of Policy**

Tenure-Track and Tenured Faculty Members

**III. Policy Definitions**

**A. Abstain**

“Abstain,” in this policy, is a voluntary decision not to cast an aye or nay vote. Abstentions are considered non-votes.

**B. Academic Administrator**

“Academic administrator,” in this policy, means a UNT official in the position of unit administrator, associate dean, dean, provost, or that official’s designee.

**C. Advocate**

“Advocate,” in this policy, means a tenured UNT faculty member who is well-versed with UNT tenure and promotion processes. The role of the advocate is to clarify aspects of the tenure and promotion process and/or answer questions regarding the candidate’s case. An advocate is preferably an expert in the candidate’s field. Academic administrators cannot serve as advocates.

**D. Business Day**

“Business day,” in this policy, means Monday through Friday during regular university business hours (8:00 a.m. - 5:00 p.m.), when university offices are open.

**E. College Review Committee**

“College review committee,” in this policy, means a group of faculty members who review the tenure and promotion personnel actions within a college.

**F. Eligible Faculty Member**

“Eligible faculty member,” in this policy, means a faculty member who may vote on faculty reappointment, tenure and promotion personnel actions in years 4, 5, and 6 of the tenure-track. Faculty are eligible to vote on personnel actions of faculty with the same or lesser rank, e.g., an associate professor can vote on tenure/promotion personnel actions involving

associate/assistant professors and non-tenured faculty members. The term does not include a person who holds faculty rank but who spends the majority of time engaged in managerial or supervisory activities (for example the provost, a dean, unit administrator, or person in an associate or assistant academic administrator position), or a student who teaches as part of an educational program.

**G. *Electronic Dossier***

“Electronic dossier,” in this policy, is a collection of digital tenure and promotion documents housed in the university’s faculty information system.

**H. *Expedited Tenure***

“Expedited tenure,” in this policy, means a tenure review that takes place out-of- cycle for hiring or counter-offer purposes.

**I. *Faculty Member***

“Faculty member,” in this policy, means a person employed by UNT as a member of the university's tenure/tenure-track faculty, whose duties include teaching, scholarship, and service. The term does not include a person who holds faculty rank but who spends the majority of time engaged in managerial or supervisory activities (e.g., provost, dean, unit administrator, or associate/assistant academic administrator positions), or a student who teaches as part of an educational program.

**J. *Faculty Information System***

“Faculty Information System” and “FIS,” in this policy, mean the electronic system that officially houses faculty productivity information, including teaching, research, and service production. FIS data is used to facilitate personnel actions such as tenure, promotion, and annual review processes.

**K. *Full-time Faculty Member***

“Full-Time faculty member,” in this policy, is a faculty member who works a 100% workload in time and effort.

**L. *Mandatory Fifth-Year Review***

“Mandatory fifth-year review,” in this policy, is an additional review period for a tenure-track faculty member that did not fully meet their unit’s tenure and promotion criteria in one of the three (3) domains (teaching, scholarship, service) during their midterm review. Mandatory fifth-year review requires the faculty member to repeat the full midterm review process in the fifth year in place of the regular fifth-year reappointment review.

**M. *Maximum Probationary Period***

“Maximum probationary period,” in this policy, means the maximum amount of time a faculty member may be appointed in probationary ranks at UNT.

**N. *Midterm Reappointment Review***

“Midterm reappointment,” in this policy, means the fourth-year reappointment review of tenure-track faculty.

**O. *Part-time Faculty Member***

“Part-Time faculty member,” in this policy, is a faculty member who works less than a 100% workload in time and effort.

**P. *Personnel Affairs Committee***

“Personnel affairs committee,” in this policy, means an elected group of faculty who make recommendations regarding unit decisions, such as annual merit, to the unit administrator and/or dean.

**Q. *Simple Majority***

“Simple majority,” in this policy, means 51% of the committee must vote aye or nay for a tenure/promotion candidate to receive the corresponding affirmative or negative recommendation. A tie is not a simple majority and yields a negative recommendation.

**R. *Stop-the-Clock Period***

“Stop-the-Clock period,” in this policy, means a one-year extension of the tenure-track probationary period for qualifying circumstances.

**S. *Tenure-Track Appointment***

“Tenure-track appointment,” in this policy, means an appointment that includes a period of probationary employment preceding determination of tenure status. Appointment may be made to the rank of assistant professor or, in some cases, associate professor without tenure.

**T. *Tenured Appointment***

“Tenured appointment,” in this policy, means an appointment awarded to a faculty member after successful completion of the probationary period during which stated criteria are met. Appointment may be made to the rank of associate professor or full professor.

**U. *Terminal Contract***

“Terminal contract,” in this policy, means a contract constituting notice that employment ends at the conclusion of the contract period and that continued employment will not be offered at the end of the contract year. A terminal contract can be issued at the end of the first, second, third, midterm (fourth), fifth, or sixth year of the tenure-track.

**V. *Unit***

“Unit,” in this policy, means an academic department/division under the administration of a UNT official with responsibilities for personnel actions.

**W. Unit Administrator**

“Unit administrator,” in this policy, means the person responsible for the unit and the personnel actions within the unit. A department chair is an example of a unit administrator.

**X. Unit Review Committee**

“Unit review committee,” in this policy, means a group of faculty members who review the tenure and promotion personnel actions within an academic unit.

**IV. Policy Responsibilities**

**A. Probationary Periods for Tenure-Track Appointments**

The probationary period for a tenure-track appointment allows UNT to consider carefully whether a faculty member is able to meet the teaching, scholarship, and service expectations of the job. During the probationary period, a faculty member does not have tenure. This policy outlines the specific guidelines for the initiation, duration, and extension of the probationary period.

1. Initiation of Probationary Period

The probationary period begins at the start of the fall semester of the appointment. For a faculty member appointed for the spring semester, the probationary period begins in the fall semester of the following academic year.

2. Length of Probationary Period for Assistant Professors

The maximum probationary period for a faculty member appointed as an assistant professor is the equivalent of six (6) years of full-time service. The fourth year normally will be the midterm review year. The sixth year normally will be the mandatory tenure-review year. If deemed appropriate by the unit administrator and dean, or as noted in a candidate’s offer letter, a candidate for tenure and promotion may be reviewed early in the probationary period. If the early review process is unsuccessful, the candidate may be reviewed again during the sixth year.

3. Length of Probationary Period for Associate Professors

The maximum probationary period for a faculty member appointed at the rank of associate professor, but without tenure, is equivalent of five (5) years of full-time service. The third year normally will be the midterm review year. The fifth year normally will be the mandatory tenure review year. If deemed appropriate by the unit administrator and dean, or as noted in a candidate’s offer letter, a candidate for tenure may be reviewed early in the probationary period. If the early review process is unsuccessful, the candidate may be reviewed again during the fifth year.

4. Extending the Probationary Period

In qualifying circumstances, a tenure-track faculty member may request that the probationary period be extended, also referred to as stopping the clock. With the exception of assigned teaching workload, the stop-the-clock period will be excluded

from the probationary period and the probationary period will be extended accordingly. A request to extend the probationary period during the year in which a mandatory review is required will not be granted except when required to comply with other university policies.

*a. Qualifying Circumstances*

Circumstances that may warrant extending the probationary period include, but are not limited to: (a) the birth/adoption of a child; (b) responsibility for managing the illness/disability of a family member; (c) serious, persistent personal health issues; (d) death of a spouse/domestic partner or child; (e) military service; and (f) significant delays in fulfillment of UNT resources committed in an appointment letter. Not having met teaching, scholarship, and service expectations during a previous review period does not qualify as an extenuating circumstance for extension of the probationary period.

*b. Length of Extension*

A typical extension is one (1) year. In extraordinary circumstances, the dean and provost may grant a second one-year extension of the probationary period.

*c. Timing*

Faculty members who intend to request an extension of the probationary period are encouraged to do so as early as the qualifying circumstance arises. Except under extraordinary circumstances, extension requests will be made no later than: a) prior to the beginning of the fifth year of the probationary period for assistant professors; b) prior to the beginning of the fourth year for associate professors; and c) during the year preceding the extension year for all other cases.

*d. Performance Criteria and Evaluation*

The faculty member with the extension of the probationary period will be evaluated using the same tenure criteria as those faculty members who were evaluated following the standard probationary periods. Teaching, scholarship, and/or service activities/products resulting during the stop-the-clock period will be counted towards tenure. A faculty member will not be penalized for lack of progress towards scholarship and service activities during the stop-the-clock period.

*e. Faculty Responsibilities*

Resources allocated by UNT for scholarship and/or service activities/products that have deadlines for use within the stop-the-clock period will have their deadlines for use extended as well, within UNT policy.

*f. Approval Process*

The faculty member is responsible for providing appropriate documentation to demonstrate why the stop-the-clock request should be granted. To initiate the process, the faculty member must complete and forward the [Stop-the-Clock Form](#)

to the faculty member's unit administrator. Upon receipt of stop-the-clock request, the unit administrator will submit a written recommendation to the dean, including the reasons for supporting or not supporting the request. The dean will review the stop-the-clock request provided by the unit administrator and make a written recommendation to the provost, who may approve or deny the request. The provost will document in writing the reasons for approval or denial of the request. The provost's decision is final. The evaluation of the request will be based on the individual case recognizing that each case is unique.

## ***B. General Guidelines for Review***

Tenured and tenure-track faculty members are responsible for developing clear unit criteria and applying these criteria in a review process that maintains high standards in teaching, scholarship, and service and ensures a fair and comprehensive review of candidates. Tenure and promotion personnel actions are facilitated electronically through the university's FIS. The university's tenure and promotion review guidelines apply to all UNT academic units.

### **1. Unit Criteria**

The tenured and tenure-track faculty of each unit, in collaboration with the unit administrator, will develop clearly written criteria and procedures for reappointment, tenure, and promotion. The unit's procedures must be consistent with those of the college and the university. The dean and provost must approve all unit performance criteria and procedures. The dean will make these criteria and procedures publicly available and provide said criteria/ procedures to each faculty member at the time of appointment. The unit administrator and dean are responsible for ensuring that the criteria/procedures are followed.

#### ***a. Choice of Unit-Level Tenure Criteria***

A faculty member on a tenure-track appointment may, unless otherwise specified in writing at the time of appointment, choose the unit-level tenure guidelines in effect at the time of initial appointment or the unit-level guidelines at the time when the candidate prepares the tenure dossier.

### **2. Reappointment Review and Eligible Faculty Vote**

a. Each unit administrator must provide a reappointment review (separate from annual review) annually to all tenure-track faculty members during their probationary period. This written review provides an evaluation of the areas of teaching, scholarship, and service; and specifically addresses progress toward tenure. Reappointment reviews are based on contributions that are documented and/or can be verified. Further, the reappointment review must provide an explicit statement of the quality of the faculty member's achievements, not simply an enumeration of the documented accomplishments of that faculty member. The unit administrator will provide a written reappointment review to the faculty member and discuss the evaluation as a part of the mentoring process.

- b. Unit eligible faculty members vote on the reappointment recommendation of probationary faculty members in the fourth (midterm), fifth, and sixth years of the tenure-track. Eligible faculty members are responsible for reviewing the candidate's electronic dossier before voting. The unit administrator will record each year's eligible faculty reappointment vote and note the votes in the fourth (midterm) and sixth-year electronic dossiers. Faculty on development leave, other types of leave, or modified service are not permitted to vote on reappointment actions. The eligible faculty vote is separate from the unit review committee vote. Academic administrators who have a formal role in the reappointment, tenure, and promotion process do not participate in the eligible faculty vote and the reason for the absence of their vote should be noted in the unit administrator's recommendation letter.
- c. The yearly reappointment review process for tenure-track faculty is as follows:

- i. First-, Second-, and Third-Year Reappointment Review

The basis of the first-, second-, and third-year reappointment review is the annual review. The annual review of first, second, and third year tenure-track faculty members is used by the: (a) Personnel Affairs Committee (PAC) to write the annual review PAC recommendation, (b) unit review committee to write the unit review committee reappointment recommendation, and (c) unit administrator to write the annual and reappointment reviews. The unit review committee votes on first, second, and third year reappointment reviews. College review committee and dean recommendations are only required if the unit review committee and/or unit administrator confer a negative reappointment recommendation. If the dean makes a negative decision, the faculty member may request review by the provost in accordance with the grievance policy. A negative decision by the provost is final. The outcome of a first-, second-, and third- year reappointment review is either an affirmative or negative reappointment.

- ii. Midterm Reappointment Review

The midterm reappointment review begins at the end of the spring semester in the third year of the tenure- track and uses the same criteria of evaluation as the sixth-year tenure and promotion review (further elaborated on in section V.), minus the external review letter process. The eligible faculty vote will be facilitated by the unit administrator. The outcome of a midterm reappointment review is either an affirmative or negative reappointment or a mandatory fifth-year review. Midterm faculty members participate in the annual review process in addition to the midterm reappointment review process.

- iii. Fifth-Year Reappointment Review

The basis of the fifth-year reappointment review is the annual review. The annual review of fifth-year faculty members is used by the: (a) PAC to write

the annual review PAC recommendation, (b) unit review committee to write the unit review committee reappointment recommendation, and (c) unit administrator to write the annual review and the reappointment review. The eligible faculty vote is facilitated by the unit administrator for fifth-year reviews. College review committee and dean recommendations are only required if the unit review committee and/or unit administrator confer a negative reappointment recommendation. If the dean confers a negative recommendation, a provost's recommendation is required. The outcome of a fifth-year review is either an affirmative or negative reappointment.

#### iv. Sixth-Year Tenure and Promotion Review

The sixth-year review process (further elaborated on in section V.), includes receipt of external review letters. The eligible faculty vote will be facilitated by the unit administrator. The outcome of a sixth-year tenure and promotion review is either an affirmative or negative tenure and promotion decision. Sixth-year faculty participate in the annual review process in addition to the sixth-year review process.

### 3. Mentoring and Support

UNT is committed to a culture of mentoring and support for faculty throughout the reappointment, tenure, and promotion process as evidenced by the following activities.

#### a. *Annual Workshops*

To communicate and provide guidance on tenure and promotion policies and procedures, the Office of the Provost will conduct annual workshops for tenure-track faculty.

#### b. *Mentors*

The candidate, in consultation with the unit administrator, will select a mentor as early as the appointment date, but no later than the end of the first semester of the probationary period. A unit administrator cannot serve as a mentor for a faculty member within their unit.

#### c. *Advocates*

Sixth-year candidates may select an advocate up to the dossier deadline date. The candidate may request the assistance of the Office of the Provost, dean, or unit administrator in the selection of an advocate. The role of the advocate is to clarify aspects of the tenure and promotion process and/or answer questions regarding the candidate's case. An advocate is preferably an expert in the candidate's field. Academic administrators cannot serve as advocates.

### **C. Review Committees**

Units will establish review committees for the purpose of reappointment, tenure, and promotion. The following guidelines apply to both unit and college review committees.



1. Composition

Committees must consist of no fewer than five (5) and no more than all eligible faculty members within the unit. Only tenured faculty members may serve on the committee when evaluating probationary candidates. Only full professors may serve on the committee when considering candidates for promotion to full professor.

2. Request for Committee Member Exclusion

Sixth-year tenure and all promotion candidates have the right to request, in writing to the dean, that a limited number of individuals whom they believe are not able to provide a fair and unbiased assessment, be excluded from service as reviewers. The candidate must also list the reasons for the requested exclusion(s). The dean, in consultation with the unit review committee and unit administrator, will make the final decision.

3. Exceptions for Smaller Units

Units that do not have the sufficient number of members for a unit review committee will identify, with assistance from and consent of the dean, tenured faculty from outside of the academic unit to serve on the unit review committee. External members serve one-year terms. Depending upon unit need and with mutual agreement between the external review committee member and the academic unit, the one-year term may be renewed twice.

4. Exceptions for Smaller Colleges

For smaller colleges, a college review committee may be used rather than a unit review committee. The college review committee shall be composed of no fewer than five (5) eligible tenured faculty members from the college. With consent of the dean, faculty members can be from outside of the college. If possible, the committee chair should be from the tenure/promotion candidate's home academic unit.

5. Recusal

Faculty members who serve on a tenure/promotion candidate's unit and college review committee must recuse themselves from voting on one of the committees. Committee members also participate in the eligible faculty vote within their unit.

6. Votes

Committee members have three (3) voting options: (a) aye, (b) nay, and (c) abstain. A simple majority of votes is required for a tenure/promotion candidate to receive an affirmative recommendation.

#### ***D. Criteria for Promotion and Granting of Tenure***

UNT is committed to supporting a strong faculty dedicated to the mission and strategic goals of the institution through the tenure and promotion process. The diligent application of unit-level criteria should result in a strong reputation of academic excellence and national

prominence. In addition to the criteria listed below, faculty members are expected to conduct teaching, scholarship, and service activities in accordance with UNT Policy 06.035, Academic Freedom and Academic Responsibility; and UNT Policy 06.007, Annual Review.

1. Criteria for Granting Tenure and Promotion from Assistant to Associate Professor

*a. Overarching University Criteria*

Tenure and promotion to the rank of associate professor requires evidence of sustained excellence in the domains of teaching and scholarship along with evidence of sustained effectiveness in the domain of service. Local units are responsible for defining the discipline-specific standards of excellence and effectiveness. Sustained excellence or extraordinary quality in any one domain does not compensate for lack of sustained excellence and/or sustained effectiveness in other domains. A recommendation for tenure will consider evidence in the context of, and consistent with, levels expected at peer and/or aspirational peer programs. Any recommendation for tenure, based on evidence of excellence, also should be based, so far as possible, on compelling indications that the individual will continue to grow and develop professionally.

*b. Scope of Review*

Evaluations and recommendations will place emphasis on academic work accomplished during the probationary period at UNT, although previous achievements will be considered in the course of a holistic review, as stated in one's employment offer letter.

*c. Concurrence of Granting of Tenure and Promotion*

Assistant professors will be promoted to the rank of associate professor concurrent with the granting of tenure. Assistant professors may not be awarded tenure without also being awarded promotion.

2. Criteria for Granting Tenure and Promotion for Associate Professors Hired Without Tenure

*a. Overarching University Criteria*

The granting of tenure for associate professors hired without tenure requires evidence of sustained excellence in the domains of teaching and scholarship along with evidence of sustained effectiveness in the domain of service. The granting of tenure and promotion to full professor requires sustained excellence in the domains of teaching, scholarship, and service. A recommendation for tenure will consider evidence in the context of, and consistent with, levels expected at peer and/or aspirational peer programs.

*b. Scope of Review*

Evaluation and recommendations will emphasize academic work accomplished during the appointment at UNT, focusing primarily on accomplishments during the

time as associate professor. However, previous accomplishments as an associate professor at other institutions may also be considered in the holistic review, as stated in one's employment offer letter.

*c. Timing*

An associate professor will submit the electronic dossier by the date stipulated in the appointment letter.

*d. Approval Exception*

Tenure may be recommended without departmental approval in very extraordinary circumstances when institutional priorities outweigh departmental priorities, as long as the faculty member meets the tenure criteria for that department. The provost must approve exceptions.

3. Criteria for Promotion from Associate Professor to Full Professor

*a. Overarching University Criteria*

Promotion to the rank of full professor requires evidence of sustained excellence in each of the three (3) domains of teaching, scholarship, and service consistent with criteria outlined in this policy for attainment of tenure. Balance among teaching, scholarship, and service is expected to vary somewhat from one discipline to another and as a matter of departmental need. Contributions exclusively in one area do not qualify an individual for promotion. Sustained excellence or extraordinary quality in any one domain does not compensate for lack of sustained excellence in any other domain. Any recommendation for promotion, based on evidence of excellence, should also be based, so far as possible, on compelling indications that the individual will continue to grow and develop professionally.

*b. Scope of Review*

Evaluation and recommendations will emphasize academic work accomplished during the appointment at UNT, focusing primarily on accomplishments during the time as associate professor. However, previous accomplishments as an associate professor at other institutions may be considered in the holistic review, as stated in one's employment offer letter.

*c. Timing*

An associate professor may undergo the promotion process when, in consultation with the unit administrator and/or unit review committee chair, the faculty member believes their record warrants consideration for promotion. If unsuccessful, the faculty member may repeat the process without prejudice.

***E. Midterm Reappointment, Tenure and Promotion, and Promotion-to-Full-Professor Processes***

This section serves as a guide for the processing of midterm reappointment, tenure and

promotion, and promotion-to-full-professor documents. The Office of Academic Resources oversees the FIS and sets the deadlines for the annual tenure and promotion cycle. The tenure/promotion candidate in consultation with the unit administrator is responsible for preparing the electronic dossier. All participants in the process share the responsibility of meeting specified tenure and promotion deadlines.

#### 1. The Dossier

- a. Midterm reappointment, sixth-year tenure and promotion, and promotion-to-full-professor reviews involve review of an official, electronic dossier. Additionally, individual units or colleges may require supplemental materials stipulated at the time of appointment to be included within the dossier. The dean must stipulate these materials in written, publicly available unit/college guidelines. Tenure and promotion candidates may include additional unit/college supplemental documentation in support of their dossier.
- b. Any additions to or deletions from the dossier, as it moves through the electronic review process, will be communicated to the tenure/promotion candidate by the Office of Academic Resources, in writing, at the time when such additions/ deletions are made.
- c. The electronic dossier for midterm reappointment, tenure and promotion in the sixth-year, and promotion to full professor must contain:
  - i. Complete, current CV (*provided by the candidate*): The candidate provides a CV that is formatted as specified by the unit. In addition to published/accepted works, the CV should include items that are in *submitted for review* status.
  - ii. Self-evaluation, personal narrative (*provided by the candidate*): The candidate's opportunity to evaluate and put into context their contributions over the specified timeframe. This evaluation may include, but is not limited to: (a) goal/objective achievement, (b) course development/instruction, (c) scholarly activity, (d) community relations/service, and (e) future career direction. The self-evaluation, personal narrative is restricted to 750 words.
  - iii. Unit tenure and promotion criteria (*provided by the candidate*).
  - iv. Results of annual evaluations (*provided by the candidate*): The candidate provides their annual evaluations for the reporting timeframe.
  - v. Evidence of mentoring and support throughout the reappointment, tenure, and promotion process (for sixth-year faculty ONLY, *provided by the candidate*): The candidate's opportunity to note any mentoring activities that they participated in over the reporting timeframe in the domains of teaching, scholarship, and service. Mentoring can be in the form of formal or informal activities.
  - vi. Reappointment reviews (for sixth-year faculty ONLY, *provided by the candidate*): The candidate provides their reappointment reviews for the reporting timeframe.

- vii. Quantitative student evaluation of teaching results summary (*provided by the Office of Academic Affairs*): The Office of Academic Affairs provides a summary table of the candidate's quantitative, university-approved student evaluations of teaching scores for the specified timeframe. For comparison purposes, average student evaluations of teaching scores for the unit's faculty are also provided.
- viii. External reviewer information (sixth-year and promotion-to-full-professor candidates, *provided by the unit administrator*). The unit administrator provides the VPAA-172, External Reviewer Form for Tenure and/or Promotion Reviews, and external reviewer CVs.
- ix. External referee letters (sixth-year and promotion-to-full-professor candidates, *provided to the unit administrator by the external reviewer*). External review letters should be on the official letterhead of the reviewer's institution or organization.
- x. Recommendation of the unit review committee and unit review committee vote (*provided by the unit review committee chair*): The recommendation shall include the names of the committee members. Committee member signatures on the recommendation are not required.
- xi. Recommendation of the unit administrator, including eligible faculty reappointment vote for fourth- (midterm), fifth-, and sixth-year candidates (*provided by the unit administrator*).
- xii. Recommendation of college review committee and college review committee vote (*provided by the college review committee chair*): The recommendation shall include the names of the committee members. Committee member signatures on the recommendation are not required.
- xiii. Recommendation of dean (*provided by the dean*).
- xiv. Dissenting Recommendation, if applicable (*provided by the applicable committee member(s)*): Dissenting recommendation must name the author(s) of the dissenting opinion(s).

## 2. External Reviewers

External reviewers provide an independent assessment of the tenure/promotion candidate's scholarship, creative activity, and professional standing. This policy section includes the requirements, timing sequence, selection process, and qualifications for external reviewers.

### a. Requirements

For sixth-year and promotion-to-full-professor reviews, the dossier will contain a minimum of five (5) letters from separate external reviewers. The unit administrator will ask the reviewers to provide a professional assessment of the

candidate for tenure and/or promotion purposes. The unit will include all duly solicited external letters that are received in the dossier. Under extraordinary circumstances, and with prior approval of the dean and provost, fewer letters may be accepted. To the extent possible, provided by Texas state law, UNT will attempt to protect the reviewers' identities.

*b. Timing*

Prior to the candidate's tenure/promotion year, the unit administrator will distribute the dossier to the external reviewers with the goal of having the external review letters received by the end of the summer semester. For assistant professors, this is the spring before the sixth year. For associate professors without tenure, this is the spring before the fifth year.

*c. Selection Process*

The candidate will provide a list of up to five (5) potential external reviewers to the unit administrator and the unit review committee chair. External reviewers cannot have been a past mentor, dissertation advisor, or a frequent or current collaborator in the last five (5) years, nor have a personal relationship with the candidate. External reviewers are to be from peer or aspirational peer institutions. In collaboration, the unit administrator and unit review committee chair will select no more than three (3) of the external reviewers from the candidate's list and identify/select the remaining reviewers. Sixth-year and promotion-to-full-professor candidates have the right to request in writing to the unit administrator that certain individuals be excluded from service as reviewers whom they believe are not able to provide a fair and unbiased assessment, along with the reasons for the requested exclusion. With dean approval, the unit administrator's external reviewer list is final.

*d. Qualifications*

An external reviewer must hold the rank at or above the rank to which the candidate aspires, or have demonstrably equivalent qualifications and a position in a non-academic organization. External reviewers should be experts in the candidate's discipline. For each external reviewer, an explanation must be given regarding the: (a) author's relevant expertise to serve as a reviewer, and (b) author's relationship, if any, to the candidate under review.

*e. Documentation*

At a minimum, external reviewers will receive the unit's tenure and promotion criteria and the candidate's CV, scholarly work sample(s), and self-evaluation narrative. Units may require additional documentation in addition to the aforementioned University-required documentation.

3. Deadlines

The Office of Academic Affairs will publish tenure and promotion deadlines approxi-

mately six (6) months in advance of the reappointment, tenure, and promotion cycle. Deviation from a published deadline must be approved by the provost.

4. Internal Review of Dossier

For each tenure/promotion candidate, the unit review committee, unit administrator, college review committee, dean, and provost must (a) complete a comprehensive review of the electronic dossier, (b) yield a professional judgment, and (c) make a recommendation regarding a candidate's electronic dossier. With concurrence from the president, the Board of Regents awards tenure and promotion.

5. Dossier Closure

For sixth-year candidates and candidates for promotion to full professor, the dossier is considered closed once it has been sent to the external reviewers. For midterm candidates, the dossier is considered closed on the candidate's midterm submission deadline. Additional information can be added to a closed dossier if the unit administrator and vice provost for academic resources, with unit tenure and promotion criteria in mind, deem the following criteria have been met: (a) the scholarly/creative work was submitted for review prior to the closing of the dossier and the work was listed in the tenure/promotion candidate's CV, (b) the scholarly/creative work received unconditional acceptance and such acceptance has the potential to change a tenure and/or promotion recommendation from negative to affirmative, and (c) the provost has yet to render a recommendation. If new material is added to a dossier, all internal reviewers will reconsider any prior recommendation, based upon the new material. At every level, in the event of a negative recommendation, the tenure/promotion candidate may decide to have the dossier moved to the next level or to withdraw the dossier from consideration, accepting that withdrawal from consideration means that tenure and/or promotion will not transpire.

6. Candidate Dossier Access After Dossier Submission

With the exception of external reviews, tenure/promotion candidates have access to each electronic dossier recommendation and accompanying documentation after each tenure/promotion recommendation submission. If a candidate receives a negative recommendation from the provost, the candidate may upon request, review their external review letters. During the review process, external review letters will be redacted of all information that could potentially be used to identify the external reviewer before providing the letters to the candidate.

7. Review of the Dossier by the Unit Review Committee

a. The unit review committee will review the tenure/promotion candidate's electronic dossier and prepare a written recommendation to the unit administrator. The unit review committee will not merely review/summarize the dossier but must speak to the value, impact, and importance of the contributions made by the faculty member. The recommendation and unit review committee vote, as determined by simple majority vote, will be added to the electronic dossier by the unit review

committee chair. Said recommendation must provide a succinct rationale for their professional judgment. The unit review committee recommendation may include a dissenting opinion report.

- b. If the unit review committee is considering writing a negative recommendation, the unit review committee chair must notify the candidate within ten (10) business days of the start of the unit review committee's step in the tenure/promotion schedule. The candidate has a right to meet with the unit review committee chair within five (5) business days of the notification to discuss the negative recommendation consideration. A faculty advocate may accompany the candidate to this meeting. Any person present at this meeting may request that it be recorded with the approval of all participants present. Responsibility for arranging the recording of the meeting lies with the party making the request. Any recordings made during the meeting are official university records and must be maintained in accordance with the record-retention policy.
- c. The meeting between the candidate and the unit review committee chair provides the candidate the opportunity to clarify their dossier's content. If the information provided at the meeting does not address the unit review committee's concerns, a negative recommendation will be transmitted. The candidate may write a response to the unit review committee disputing the negative recommendation and this response will be added to the candidate's electronic dossier by the unit review committee chair. The candidate's deadline to submit this response to the unit review committee chair is three (3) business days before the dossier moves to the unit administrator.

#### 8. Review of the Dossier by the Unit Administrator

- a. The unit administrator will review the tenure/promotion candidate's electronic dossier, including the recommendation from the unit review committee and the candidate's response to a negative consideration (if applicable). The unit administrator must speak to the value, impact, and importance of the contributions made by the faculty member. Based on the electronic dossier, the unit administrator will make a written affirmative or negative recommendation to the college review committee. This recommendation will provide a succinct rationale for the unit administrator's professional judgment regarding the recommendation.
- b. If the unit administrator is considering writing a negative recommendation, the unit administrator must notify the candidate within ten (10) business days of the start of the unit administrator's step in the tenure/promotion schedule. The candidate has a right to meet with the unit administrator within five (5) business days of the notification to discuss the negative recommendation consideration. A faculty advocate may accompany the candidate to this meeting. Any party present at this meeting may request that it be recorded with the approval of all parties present. Responsibility for arranging the recording of the meeting lies with the party making the request. Any recordings made during the meeting are official university records and must be maintained in accordance with the record- retention policy.



- c. The meeting between the candidate and the unit administrator provides the candidate the opportunity to clarify their dossier's content. If the unit administrator's concerns are not addressed at the meeting, a negative recommendation will be transmitted. The candidate may write a response to the unit administrator disputing the negative recommendation and this response will be added to the candidate's electronic dossier by the unit administrator. The candidate's deadline to submit this response to the unit administrator is three (3) business days before the dossier moves to the college review committee.
9. Review of the Dossier by the College Review Committee
    - a. The college review committee will review the tenure/promotion candidate's electronic dossier, including the recommendations from the unit review committee and unit administrator, and any faculty responses to negative considerations. The college review committee will write a recommendation to the dean. The college review committee will not merely review/summarize the dossier, but must speak to the value, impact, and importance of the contributions made by the faculty member. The college review committee recommendation and vote, as determined by simple majority vote, will be added to the electronic dossier by the college review committee chair. This recommendation must provide a succinct and evidence-based rationale for their professional judgment. The college review committee recommendation may include a dissenting opinion report in addition to the majority recommendation.
    - b. If the college review committee is considering writing a negative recommendation, the college review committee chair must notify the candidate within ten (10) business days of the start of the college review committee's step in the tenure/promotion schedule. The candidate has a right to meet with the college review committee chair within five (5) business days of the notification to discuss the negative recommendation consideration. A faculty advocate may accompany the candidate to this meeting. Any party present at this meeting may request that it be recorded with the approval of all parties present. Responsibility for arranging the recording of the meeting lies with the party making the request. Any recordings made during the meeting are official university records and must be maintained in accordance with the record-retention policy.
    - c. The meeting between the candidate and the college review committee chair provides the candidate an opportunity to clarify their dossier's content. If the information provided at the meeting does not address the college review committee's concerns, a negative recommendation will be transmitted. The candidate may write a response to the college review committee disputing the negative recommendation and this response will be added to the candidate's electronic dossier. The candidate's deadline to submit this response to the college review committee chair is three (3) business days before the dossier moves to the dean.

## 10. Review of the Dossier by the Dean

- a. The dean will review the tenure/promotion candidate's electronic dossier, including the recommendations from the unit review committee, unit administrator, and college review committee; and, if appropriate, candidate dispute responses. The dean will not merely review the dossier but must speak to the value, impact, and importance of the contributions made by the faculty member. Based on the electronic dossier, the dean writes a recommendation to the provost and adds the recommendation to the candidate's electronic dossier. Said recommendation must provide a succinct and evidence-based rationale for their professional judgment. If the dean does not concur with previous recommendations, the reasons for non-concurrence must be stated in the recommendation.
- b. If the dean is considering writing a negative recommendation, the dean must notify the candidate within ten (10) business days of the start of the dean's step in the tenure/promotion schedule. The candidate has a right to meet with the dean within five (5) business days of the notification to discuss the negative recommendation consideration. A faculty advocate may accompany the candidate to this meeting. Any party present at this meeting may request that it be recorded with the approval of all parties present. Responsibility for arranging the recording of the meeting lies with the party making the request. Any recordings made during the meeting are official university records and must be maintained in accordance with the record retention policy.
- c. The meeting between the candidate and the dean provides the candidate an opportunity to clarify their dossier's content. If the dean's concerns are not addressed at the meeting, a negative recommendation will be transmitted. The candidate may write a response to the dean disputing the negative recommendation and this response will be added to the candidate's electronic dossier by the dean. The candidate's deadline to submit this response to the dean is three (3) business days before the dossier moves to the provost.

## 11. Review of Dossier by the Provost

- a. The provost will review the electronic dossier of midterm, sixth-year, and promotion-to-full professor candidates, reviewing each deliberative body as having an independent input to the decision-making process. The provost will make a decision on whether to recommend: (a) reappointment for a midterm candidate, (b) tenure and promotion for a sixth-year candidate, (c) tenure for an associate professor without tenure candidate, or (d) promotion for a tenured associate professor candidate. The provost may request a meeting with the dean and/or request further information about aspects of the faculty member's dossier before making a decision.
- b. If the provost is considering writing a negative recommendation, the provost must notify the candidate within ten (10) business days of the start of the

provost's step in the tenure/promotion schedule. The candidate has a right to meet with the provost within five (5) business days of the notification to discuss the negative recommendation consideration. A faculty advocate may accompany the candidate to this meeting. Any party present at this meeting may request that it be recorded with the approval of all parties present. Responsibility for arranging the recording of the meeting lies with the party making the request. Any recordings made during the meeting are official university records and must be maintained in accordance with the record retention policy.

- c. The meeting between the candidate and the provost provides the candidate an opportunity to clarify the candidate's dossier's content. If the provost's concerns are not addressed at the meeting, a negative recommendation will be transmitted. The candidate may write a response to the provost disputing the negative recommendation and this response will be added to the candidate's electronic dossier by the provost. The candidate's deadline to submit this response to the provost is three (3) business days after the meeting with the provost.
- d. In cases where midterm, sixth-year, and promotion-to-full candidates have received negative recommendations at any previous level, the provost may commission an ad hoc advisory committee of five (5) tenured faculty to review said dossiers and provide an affirmative or negative recommendation to the provost.
- e. If the provost does not concur with previous recommendations, the reasons for non-concurrence must be stated in the recommendation. If the provost's recommendation is negative, the recommendation must indicate the reasons for this recommendation. The provost must notify candidates of tenure/promotion outcomes.

## 12. Review of the Dossier by the President

The president reviews tenure and promotion dossiers of fourth-year (midterm) and sixth-year candidates, and candidates for promotion to full professor. Affirmative sixth-year tenure candidate recommendations are sent to the Board of Regents. The award of tenure is official upon affirmative action by the Board of Regents and tenure and promotion by the president is effective at the beginning of the academic year following approval. Negative candidate tenure and promotion recommendations follow the negative decision for granting tenure and promotion guidelines.

### ***F. Guidelines for Negative Decisions***

The process for appealing negative decisions and issuing terminal contracts are outlined below.

1. Negative Decision for Reappointment for Tenure-Track Faculty in Years 1, 2, 3, and 5

*a. Due Process*

In the event of a decision by the dean not to renew a probationary appointment in years 1, 2, 3, and 5 of the tenure-track, the faculty member will be informed of the decision in writing and be advised of the reasons. The faculty member may request a review of the decision by a college-level faculty grievance committee. The faculty member must submit the request to the committee, in writing, no later than ten (10) business days after written receipt of the dean's decision for review in accordance with the college/school bylaws. The dean will review the committee's recommendation in reconsidering the original decision. In the event of a negative decision, the dean's decision and the committee's recommendation will be forwarded to the provost for a final decision

*b. Terminal Contract*

In the event of a decision not to renew a probationary appointment, the faculty member will receive a terminal contract for the academic year immediately following the academic year in which the review was conducted.

2. Negative Decision for Midterm Reappointment and the Granting of Tenure and Promotion

*a. Due Process*

- i. Upon notification by the provost of a negative recommendation regarding midterm reappointment or tenure and promotion, the candidate may grieve the recommendation to the president. The faculty member must submit the grievance to the president, in writing, no later than ten (10) business days after written receipt of the recommendation.
- ii. Pursuant to UNT Policy 06.051, the president shall forward grievances related to processes and procedures to the University Faculty Grievance Committee (UFGC) for a recommendation. The UFGC's recommendation will be communicated in writing to the president, with a copy provided to the provost and the faculty member.
- iii. The president reviews the: (a) recommendation of the provost, (b) dossier, (c) the UFGC recommendation (if applicable), and (d) any information the president deems necessary. The president may call a committee of senior tenured faculty members or other qualified consultants to provide advice. The candidate will have the opportunity to respond to any new information or advice considered by the president.
- iv. The president must notify the candidate in writing of the decision, with a copy to the provost, within 30 days. A negative decision by the president is final.

a) Terminal Contract

A faculty member receiving a final negative decision on tenure will receive a terminal contract for the academic year immediately following the decision on any appeal.

**G. Expedited Tenure**

On rare occasions, the university may need to expedite the tenure/promotion process for a candidate. Examples of said occasions include: (a) an incoming faculty member/administrator who holds tenure or has held tenure at a peer or aspirant university, (b) an incoming faculty member/administrator who has not held tenure at a peer or aspirant university but whose record and reputation warrant tenure, or (c) in cases of counteroffers when the faculty member has been offered tenure/promotion at a peer or aspirant university. The expedited tenure process includes:

1. The relevant department notifies the dean of its intention to make an offer of employment (or retention in the case of a counter-offer) to a candidate using the expedited review process.
2. With dean approval, a request is made to the provost for an expedited review.
3. With provost approval, an internal faculty offer letter is created.
4. In cases where the candidate has not previously held tenure at a peer or aspirant university, five (5) external letters shall be obtained. External letters are not required for candidates that have held tenure at a peer or aspirant university.
5. In cases of expedited promotion, external letters are not required.
6. The department's unit review committee votes on the tenure/promotion action and provides a written recommendation.
7. The unit administrator provides a written recommendation.
8. The college review committee votes on the tenure/promotion action and provides a written recommendation.
9. The dean provides a written recommendation.
10. All recommendations are to accompany the offer letter and be forwarded to the provost who reviews the documentation and makes a recommendation to the president.
11. In cases of tenure, if the candidate has held tenure at a peer or aspirant university, and receives a positive recommendation from the president, the action is forwarded to the Board of Regents as a consent agenda item. If the candidate has not held tenure previously at a peer or aspirant university and receives a positive recommendation from the president, the action is forwarded to the Board of Regents as an action item.

12. Promotion requests receive approval from the provost and are not forwarded to the president or Board of Regents for approval.

**H. Reduced Appointments**

1. If a full-time faculty member desires a temporary or permanently reduced appointment (less than full-time but not less than 50%), the faculty member must obtain approval from their unit administrator and dean for the FTE reduction. Faculty compensation will be reduced proportionate to the FTE reduction. If a faculty member reduces their appointment, an appointment increase back to 100% will be unit-need dependent. Tenured faculty members who fall below 50% FTE will lose tenure. A reduction in FTE does not involve an automatic extension of the probationary period. A probationary faculty member, whose appointment is less than full-time but not less than 50%, may request an extension of the probationary period in accordance with this policy.
2. A reduction in FTE will have a corresponding reduction in sick leave hours accrued each month (i.e., a 75% FTE appointment will accrue 6 hours of sick leave per month). In addition, a reduction in FTE below 75% will result in an increase in insurance premiums for those individuals enrolled in ERS health insurance. It is recommended that faculty consult with Human Resources to determine the increase amount. Faculty who have an FTE reduction below 50% will no longer be eligible for ERS health insurance, sick leave, or retirement.

**V. Resources/Forms/Tools**

[Stop-the-Clock Form](#)

[VPAA-172, External Reviewer Form for Tenure and/or Promotion Reviews](#)

**VI. References and Cross-References**

[Texas Education Code § 51.948](#)

[UNT Policy 06.007, Annual Review](#)

[UNT Policy 06.027, Academic Workload](#)

[UNT Policy 06.035, Academic Freedom and Academic Responsibility](#)

[UNT Policy 06.051, University Faculty Grievance](#)

**VII. Revision History**

Policy Contact:	Policy Director, Office of the Provost and VP for Academic Affairs
Approved Date:	02/27/2017
Effective Date:	05/05/2017
Revisions:	06/01/2020



**Policy Chapter:** Chapter 6 Faculty Affairs

**Policy Number and Title:** 06.025 Faculty Misconduct and Discipline

---

## **I. Policy Statement**

As members of the community of scholars, we recognize that faculty members have an obligation to perform their duties in a responsible manner and with intellectual honesty. Misconduct may occur when a faculty member significantly, repeatedly, and/or deliberately does not fulfill their duties and responsibilities as described in UNT Policy. At the University of North Texas (UNT), the faculty and administration take an active role in developing an atmosphere that promotes academic freedom, protects faculty rights, and affirms disciplinary action in the rare cases when it is determined that a faculty member engages in misconduct. This document outlines the procedures that will be followed when addressing alleged faculty misconduct.

### **A. Exclusions**

Certain misconduct allegations are adjudicated under the auspices of a different policy and/or process. These include research misconduct as defined in UNT Policy 13.006, fraud or other criminal acts, findings or sanctions related to Title IX and sexual misconduct as described in UNT Policy 16.005, and discrimination and retaliation as described in UNT Policy 16.004.

## **II. Application of Policy**

All Faculty, including Administrators with Faculty Appointments

## **III. Policy Definitions**

### **B. Business Day**

“Business day,” in this policy, means Monday through Friday during regular university business hours (8:00 a.m. - 5:00 p.m.), when university offices are open.

### **C. Conflict of Interest**

“Conflict of interest,” in this policy, means an inconsistency between one’s personal or professional interests and the best interests of the University. Direct involvement with the substance of the allegation also constitutes a conflict of interest.

### **D. Faculty Advocate**

“Faculty Advocate,” in this policy, means a UNT faculty member whose role is to clarify aspects of the misconduct process and/or answer questions regarding the accused faculty member’s case.

### **E. Faculty Member**

“Faculty Member,” in this policy, means a person who is employed by UNT in a faculty appointment, whose duties include teaching, research, and/or administration, including professional librarianship.

#### **F. Grievance**

As described in UNT Policy 06.051, "Grievance," in this policy, means a faculty member's formal expression of disagreement or dissatisfaction (through written notice to the appropriate academic administrator) with employment-related concerns, such as working conditions, hours of work, compensation, environment, relationships with supervisors or other employees, or negative personnel decisions. A grievance may be made at any level during the process.

#### **G. Response**

"Response," in this policy, means an expression in writing by a faculty member or a representative the faculty member delegates concerning an allegation that the faculty member engaged in misconduct resulting in a recommendation of corrective action.

#### **H. Unit Administrator**

"Unit Administrator," in this policy, means an individual with unit supervisory responsibilities. Unit administrators include, but are not limited to directors, chairs, associate deans, and deans.

### **IV. Policy Responsibilities**

#### **A. Misconduct**

Misconduct refers to behavior that significantly impairs the functions of teaching, research, creative activity, or service. Examples of faculty misconduct include, but are not limited to, the following:

1. Gross Neglect & Failure to Perform

Gross neglect of duty or failure to perform the terms of employment for reasons other than documented illness or injury.

2. Violation of Rules, Policy, or Law

Violation of the Board of Regents rules, university policies, or state or federal law.

3. Violation of Conduct Related to Resource Use

Violation of professional and personal conduct related to resource use. Examples may include, but are not limited to, unauthorized use of university resources, failure to report potential conflicts of interest, misuse of university documents or identification, and unauthorized entry to a facility or property.

4. Actions that Impair or Create Clear & Present Danger

Action(s) that impair or prevent other members of the university community from fulfilling their responsibilities or that create a clear and present danger to members of the university community.



## **B. Administrators with Faculty Appointments**

Any violation of this policy or related policy by an administrator with a faculty appointment shall be investigated as alleged faculty misconduct.

## **C. Administrative Procedures**

The following administrative procedures must be followed when a faculty member is alleged to have engaged in behavior or conduct that warrants corrective action or when a unit administrator otherwise learns of faculty misconduct. Resolution of the matter may occur at any point in the process. Administrative procedures shall be used in a manner that is consistent with the protection of academic freedom. The faculty member has the right to present evidence on their own behalf and may seek advice and assistance from a faculty advocate or other representative, including their personal counsel.

## **D. Sequence of Disciplinary Procedures for Faculty Members**

Corrective actions stemming from findings of misconduct investigated under the auspices of the policies listed under Exclusions shall be imposed under the procedures defined in this policy. The duty to recuse in the case of a conflict of interest shall extend to all decision-makers at any stage of the process.

### **1. Pending of Corrective Action**

If a faculty member chooses to grieve a finding of misconduct and corrective action, no corrective action shall be taken until the conclusion of the grievance process. However, faculty and administrators with faculty appointments may be placed on leave during an investigation, pursuant to UNT Policy 05.066. Unit administrators may make workload adjustments during the investigative process.

### **2. Departmental-Level Procedures**

Within ten (10) business days of learning of an allegation, other credible evidence of faculty misconduct, or a finding of misconduct under the auspices of different policy/process, the unit administrator notifies the faculty member in writing of the misconduct allegation or finding. In the case of an allegation, the notification must clearly identify, with supporting evidence, which policies/procedures may have been violated. The unit administrator may consult with the Office of General Counsel. The faculty member and other knowledgeable parties may provide the Unit Administrator with additional information. Additional Information received by the Unit Administrator shall be shared with the faculty member.

#### **a. Right to Respond**

The faculty member has the right to request a meeting with the unit administrator and respond both orally and in writing to the allegations/findings and any evidence presented. If the faculty member chooses to issue a response, the response must be presented to the unit administrator within thirty (30) calendar days of being notified of the alleged misconduct/finding.

*b. Unit Administrator Review*

Within ten (10) business days of the completion of the faculty member's response period, the unit administrator reviews the faculty member's response (if any was made) and gathers any additional information needed prior to determining if corrective action is warranted.

*c. Unit Administrator Response*

In the case of a prior finding of misconduct, the unit administrator shall take one of the following steps:

1) No Corrective Action

If the unit administrator determines no corrective action within their purview is warranted, the determination is reported to the faculty member and the matter is forwarded to the dean for additional review. The dean may consider corrective action.

2) Corrective Action

If the unit administrator determines corrective action within their purview is warranted, the decision is reported to the dean and faculty member. The faculty member has the right to grieve this decision at the departmental level. The dean may consider additional corrective action.

*d. Unit Administrator Reporting*

In the case of an allegation of misconduct, the unit administrator shall take one or more of the following steps:

1) No Misconduct

If the unit administrator determines no misconduct has occurred, the decision is reported to the dean and faculty member, and the matter is closed.

2) Misconduct Occurred & Corrective Action Warranted

If the unit administrator determines that misconduct has occurred and corrective action within their purview is warranted, the decision is reported to the dean and faculty member. The faculty member has the right to grieve this decision at the departmental level. The dean may take additional corrective action.

3) Misconduct Occurred & Corrective Action Recommended

If the unit administrator determines that misconduct has occurred and corrective action is warranted by the dean, provost, or president, the unit administrator makes that recommendation known to the faculty member. The faculty member may provide a written response to the recommendation within ten (10) business days. The unit administrator's recommendation is

reported to the dean and faculty member, accompanied by the faculty member's response and all other materials related to the allegation.

### 3. Dean-Level Procedures

When the unit administrator forwards material related to a finding of misconduct, the dean shall review the finding(s), unit administrator's recommendation, the faculty member's response, and all other related materials. The dean may accept, reject, or modify the recommendation of the unit administrator, as described below. The dean may consult with the Office of General Counsel. The faculty member, unit administrator, and other knowledgeable parties may provide the dean with additional information. Additional information received by the dean shall be shared with both the unit administrator and the faculty member.

Within ten (10) business days of receiving the referral from the unit administrator, the dean shall take one or more of the following steps.

#### *a. No Corrective Action*

If the dean determines no corrective action within their purview is warranted, the decision is reported to the provost, unit administrator, and faculty member. The provost may consider corrective action.

#### *b. Corrective Action by Dean*

If the dean determines corrective action within their purview is warranted, the decision as to corrective action is reported to the provost, unit administrator, and faculty member. The faculty member has the right to grieve this decision at the college-level. The provost may take additional corrective action.

#### *c. Corrective Action Recommendation*

If the dean recommends corrective action by the provost or president, the dean makes that recommendation known to the faculty member and the unit administrator. The faculty member may provide a written response to that recommendation within thirty (30) calendar days. The dean's recommendation, the faculty member's response, and all other materials are reported to the provost, unit administrator, and faculty member.

### 4. Provost-Level Procedures

When the dean forwards material related to a finding of misconduct, the provost shall review the finding(s) and recommendations, as well as all faculty member responses and all materials collected during disciplinary process. The provost may accept, reject, or modify the recommendations of the unit administrator and/or dean, as described below. The provost may consult with the Office of General Counsel. The faculty member, unit administrator, dean, and other knowledgeable parties may provide the provost with additional information. Additional information received by the provost shall be shared with the unit administrator, dean, and the faculty member.

Within ten (10) business days of receiving the referral from the dean, the provost shall take one or more of the following steps.

*a. No Corrective Action*

If the provost determines no corrective action by the provost or president is warranted, the decision is reported to the dean, unit administrator, and faculty member, and the matter is closed.

*b. Corrective Action*

If the provost determines corrective action is warranted by the provost or president, the provost makes that determination known to the president, faculty member, dean, and the unit administrator. The faculty member has the right to grieve this decision at the university-level.

**E. Corrective Actions**

In cases of faculty misconduct, a range of corrective actions may be taken.

Depending on the severity of the alleged misconduct, the President or the President's designee may immediately place a faculty member on administrative leave pending further investigation of the alleged misconduct. The leave pending investigation shall commence immediately upon the President or designee providing the faculty member with a written notice of reasons for the leave.

Corrective actions may include, but are not limited to, the list below. Actions taken shall only be those within the purview of the administrator taking the actions, as defined by Regents Rules; UNT and System policy; and unit and college charters, bylaws, and procedures. The corrective actions listed do not appear in order of importance and may be taken in combination. The type of misconduct may determine the specific corrective actions, which may include:

1. oral reprimand;
2. written reprimand;
3. mandatory counseling;
4. reduction in contract period to the extent permissible by law;
5. loss of summer teaching employment;
6. reassignment to other duties;
7. reassignment of department;
8. placement of the faculty member under direct supervision of the unit administrator with a specific plan for remediation for a specific period of time;
9. loss of merit raise(s) for a specified period;

10. suspension with or without pay;
11. restitution;
12. loss of privileges of rank for a stated period;
13. reduction in salary for a stated period (the reduction would take place with the next academic year); and/or
14. revocation of tenure and termination.

**F. Sequence of Disciplinary Procedures for Administrators in Faculty Roles**

When an academic administrator or any faculty member with assigned administrative duties is alleged to have engaged in misconduct, the procedures listed above will be followed. The supervisor of the academic administrator is responsible for ensuring that the disciplinary procedures are followed.

**G. Record Retention**

Records will be retained in accordance with the university’s records retention policy and procedures. The University complies with Texas Government Code Title 5, Open Government; Ethics, Subtitle A. Open government, Chapter 552. Public Information. Subchapter A. General Provisions.

**V. References and Cross-References**

- [Texas Government Code, Ch. 552, Public Information, Subchapter A. General Provisions](#)
- [Texas Education Code § 51.101\(3\), Faculty Member](#)
- [UNT Policy 05.066, Emergency, Administrative Leave and Leave During an Investigation](#)
- [UNT Policy 06.035, Academic Freedom and Academic Responsibility](#)
- [UNT Policy 06.051, University Faculty Grievance](#)
- [UNT Policy 13.006, Research Misconduct](#)
- [UNT Policy 16.004, Prohibition of Discrimination, Harassment, and Retaliation](#)
- [UNT Policy 16.005, Prohibition Against Sexual Misconduct and Retaliation](#)

**VI. Revision History**

Policy Contact:	Policy Director, Office of the Provost and VP for Academic Affairs
Approved Date:	10/01/2001
Effective Date:	10/01/2001
Revisions:	07/23/2015, 12/16/2021



**Policy Chapter:** Chapter 6 Faculty Affairs

**Policy Number and Title:** 06.051 Faculty Grievance

---

**I. Policy Statement**

Faculty members at the University of North Texas (UNT) have the right to present a grievance related to reappointment, tenure, promotion (RTP), or a term or condition of employment to an academic administrator as set out in this policy.

**II. Application of Policy**

All Faculty Members

**III. Policy Definitions**

**A. Academic Administrator**

“Academic administrator,” in this policy, means a UNT official in the position of unit administrator, dean, provost, or that official’s designee.

**B. Advocate**

“Advocate,” in this policy, means a tenured UNT faculty member who has experience with UNT tenure and promotion processes and assists a faculty member with the grievance process. Academic administrators cannot serve as advocates.

**C. Business Day**

“Business day,” in this policy, means Monday through Friday during regular university business hours (8:00 am – 5:00 pm), when university offices are open.

**D. Dismissal for Adequate Cause**

“Dismissal for adequate cause,” in this policy, means dismissal of a tenured or non-tenured faculty member for reasons that may include, but is not limited to:

1. professional incompetence;
2. continuing or repeated failure to perform duties or meet responsibilities to UNT, the UNT System, students, or associates;
3. failure to successfully complete a post-tenure review professional development program;
4. conduct adversely affecting the performance of duties or the meeting of responsibilities to UNT, students, or associates;
5. violation of UNT or UNT System policies or regulations, or laws substantially related to performance of faculty duties;
6. conviction of a crime substantially related to the duties and responsibilities associated with teaching, research, professional service, and/or administration, or failure to

disclose/misrepresentation of criminal history background information;

7. unprofessional conduct adversely affecting to a material and substantial degree the performance of duties or the meeting of responsibilities to UNT or the UNT System, or to students or associates; or
8. falsification of academic credentials.

**E. Faculty Member**

“Faculty member,” in this policy, means a person employed by UNT as a member of the university's faculty, whose duties include teaching, research, administration, or the performance of professional services, including professional librarians. The term does not include a person who holds faculty rank but who spends the majority of time engaged in managerial or supervisory activities (for example the provost, a dean, unit administrator, or person in an associate or assistant academic administrator position), or a student who teaches as part of an educational program.

**F. Grievance**

“Grievance,” in this policy, means a faculty member’s formal expression of disagreement or dissatisfaction (through written notice to the appropriate academic administrator) with employment-related concerns, such as working conditions, hours of work, compensation, environment, relationships with supervisors or other employees, or negative personnel decisions. For the purposes of this policy, grievance does not include a decision concerning the declaration of financial exigency or discontinuation of a program, and actions by university officials who are not in academic administrator positions, including but not limited to, decisions related to:

1. equal opportunity,
2. harassment,
3. retaliation and compliance violations,
4. health and safety inspections, and
5. policy decisions and interpretations (except as to application to an action directly affecting the faculty member).

The University Faculty Grievance Committee (UFGC) only accepts grievances where the UFGC believes a process/procedural error occurred at the unit- or college-level.

**G. Grievant**

“Grievant,” in this policy, means a faculty member who files a grievance.

**H. Hearing**

“Hearing,” in this policy, means a proceeding before the UFGC where a faculty member presents a grievance and the UNT academic administrator whose decision is being challenged

has an opportunity to respond.

**I. Professional Faculty**

“Professional faculty,” in this policy, means faculty members with a professional faculty appointment.

**J. Professional Faculty Appointment**

“Professional faculty appointment,” in this policy, means an appointment of a fixed duration, in which the individual is part of the faculty of a unit. Such an appointment is not eligible for tenure and may be for a partial semester, a semester, an academic year, or for multiple years as fits the needs of the institution. Professional faculty appointment titles are maintained by the Office of Academic Resources.

**K. Part-time Faculty Member**

“Part-time faculty member,” in this policy, means a faculty member that works less than a 100% workload in time and effort.

**L. Preliminary Review**

“Preliminary review,” in this policy, means an initial UFGC assessment of a grievance for the purposes of: (a) verifying that there was a grievance process/procedural error at the unit- or college-level, (b) determining if there is sufficient evidence to support the grievance, and (c) evaluating if the requested outcome matches the grievance request.

**M. Quorum**

“Quorum,” in this policy, means the minimum number of members that must be present at a meeting or hearing to make the proceedings of that meeting valid. For the purposes of this policy, a quorum is 50% plus one (1).

**N. Respondent**

“Respondent,” in this policy, means the person(s) against whom the grievance is filed.

**O. Tenure-Track Appointment**

“Tenure-track appointment,” in this policy, means an appointment that includes a period of probationary employment preceding determination of tenure status.

**P. Tenured Appointment**

“Tenured appointment,” in this policy, means an appointment awarded to a faculty member after successful completion of the probationary period during which stated criteria are met.

**Q. Unit**

“Unit,” in this policy, means an academic department/division under the administration of a UNT official with responsibilities for personnel actions.



## **IV. Policy Responsibilities**

### **A. Generally**

1. Faculty members are required to attempt to resolve disagreements by discussing them with the person(s) who took the disputed action prior to filing a grievance, except in cases where a faculty member believes they have been subjected to discrimination, harassment, or retaliation in violation of university policy, in which case the individual should report the conduct to the UNT Office of Equal Opportunity or the Office of Institutional Compliance, as appropriate.
2. Each unit and college will have a grievance committee and grievants must exhaust all unit- and college-level grievance procedures before requesting that a grievance be heard by the UFGC. The UFGC does not hear grievances regarding non-tenured faculty member reappointment or those made by part-time faculty. Non-tenured faculty member reappointment and part-time faculty grievances are heard at the unit- and college/school-levels, and end at the appropriate academic administrator.
3. The academic administrator with final decision authority for university grievances involving reappointment of tenure-track faculty, tenure and promotion (“RTP”) decisions is the UNT president. The academic administrator with final decision authority for university grievances other than RTP is the UNT provost. The academic administrator with final decision authority for non-tenured faculty reappointment grievances or part-time faculty grievances is the dean.

### **B. UFGC Composition**

The university shall have a committee comprised of tenured, non-tenured, and non-academic administrator faculty members to consider grievances filed pursuant to this policy and make recommendations to the appropriate university official concerning such grievances. The committee is a standing committee of the faculty senate (FS) and is referred to as the University Faculty Grievance Committee (UFGC) or as otherwise named by the FS. FS establishes UFGC operational procedures.

#### **1. Composition**

The UFGC shall be comprised of fifteen (15) full-time faculty members that are elected by UNT’s full-time faculty. The UFGC will include: (a) one (1) tenured professor from each of the eight (8) FS voting groups, (b) five (5) tenured faculty members from any of the FS voting groups, and (c) two (2) non-tenure-system faculty members from any of the FS voting groups. Effort shall be made to balance the tenured UFGC membership between full and associate professors. The UFGC shall elect a chair and a vice chair from the thirteen (13) elected tenured faculty members at the first fall meeting of each academic year. The chair and vice chair must have served on the UFGC a minimum of one (1) year before the election. The vice chair shall preside in the absence of the chair. Non-tenure-system UFGC members may not vote when the grievant is a tenured or tenure-track faculty member.

## 2. Terms

One-third of the UFGC members shall be elected each year. Lots shall be drawn for terms of 1, 2, or 3 years as needed to maintain regular rotation due to departures. Members may serve no more than two (2) full terms in succession.

## 3. Meetings

The UFGC shall meet at least once each fall and spring semesters in order to address any issues that may arise. These meetings may be facilitated online, if appropriate. The UFGC may conduct official business at meetings as long as a quorum of members are present.

## 4. Recusal

UFGC members must recuse themselves from grievance participation if the grievant is from the UFGC member's home academic unit or if they participated in any part of the decision process(es) at the lower levels.

## 5. Standing Committee Reports

The UFGC will provide a mid-year and annual standing committee report to the FS each academic year.

### **C. *Grievance Type, Submission, and Preliminary Review***

The UFGC seeks to: (a) provide a full and fair review for each grievant, (b) establish and maintain the standards of the university, and (c) minimize unnecessary/unproductive demands on the time of UFGC members and university personnel.

#### 1. Grievance Types

There are two (2) grievance classifications at the university-level:

- a. grievances related to RTP (including tenure revocation), which are filed with the president's office; and
- b. grievances other than RTP, which are filed with the provost's office. The UFGC will automatically accept RTP grievances. The UFGC will conduct a preliminary review of a grievance for reasons other than RTP to determine if the grievance will be accepted or rejected.

#### 2. Filing and Submission Deadlines

A faculty member must file a grievance via email with the appropriate academic administrator within ten (10) business days following written notification of the action with which the individual disagrees. Upon receipt, the academic administrator has ten (10) business days to forward the grievance to the appropriate committee or make a decision, as applicable. Upon agreement by the grievant and respondent, timeframes may be extended.

### 3. Grievance Documentation

The electronic copy of the grievance, at a minimum, must include:

#### *a. Background Information*

- i. Identification of the action with which the grievant disagrees and the person/body who took the action,
- ii. A timeline or chronology of the activity leading to the action with which the grievant disagrees,
- iii. A copy of the material submitted to the respondent in support of the aggrieved action, and
- iv. All documents explaining the reasons the respondent gave the grievant for taking the action, if applicable.

#### *b. Grievance Statement, Including*

- i. Identification of the perceived process/procedural error during the unit- or college-level grievance proceeding(s),
- ii. Identification of provisions from UNT policy under which redress is sought, and
- iii. A statement of the desired remedy.

#### *c. Other Documentation*

Information the grievant believes is relevant to the aggrieved action, such as unit RTP criteria, unit/college review committee evaluations, and any accompanying documentation.

### 4. Preliminary Review of Grievances Other Than RTP

Preliminary reviews for grievances other than RTP, will be conducted with a quorum of UFGC members. The UFGC will immediately notify the grievant when it receives the grievance submission from the provost's office. The UFGC will conduct the preliminary review within ten business days of receiving notice of the grievance. This time limit may be extended by mutual consent of the grievant, respondent, and committee.

At the preliminary review phase, the UFGC determines by simple majority whether there is sufficient evidence to support the grievance and verifies that there was a process/procedural error at the unit- or college-level. If required, the UFGC will ask for additional evidence. The preliminary review will result in either a grievance rejection or grievance acceptance.

#### *a. Grievance Rejection*

The UFGC may reject a grievance submission when the grievance provides no basis for redress. If the UFGC rejects a grievance, the grievant will be notified in writing and be given the opportunity to respond to the rejection in writing. No new material

can be introduced without UFGC approval. If the UFGC determines that there is insufficient evidence to support the grievance, the UFGC will request the appropriate academic administrator dismiss the grievance and notify the grievant in writing. Prospective respondents in grievance rejections will not be notified. The UFGC can request that the appropriate academic administrator dismiss a grievance at any point of the process.

*b. Grievance Acceptance*

If the UFGC determines that the grievant has presented enough evidence to support the grievance, the UFGC will notify the grievant and the respondent in writing of its intention to formally accept the grievance. The UFGC will send the respondent the points in the grievant's initial statement on which the UFGC will receive further evidence. The respondent must respond to these points in writing within ten (10) business days from the date of the receipt of the notification.

*c. Accepted grievances will follow the process for grievances other than RTP.*

***D. Grievances Related to RTP (Including Dismissal for Adequate Cause of Tenured Faculty)***

Grievances related to RTP are reviewed via a UFGC hearing.

1. Tenure Revocation Mediation

A faculty member who is the subject of a recommendation by the provost to revoke tenure and terminate employment because of a negative performance evaluation shall be given the opportunity to participate in mediation before initiation of the grievance process. The faculty member must inform the provost of the desire to participate in mediation, in writing, no later than ten (10) business days after receiving written notice of the recommendation. If the faculty member and provost agree, another type of nonbinding alternative dispute resolution method may be used as permitted by UNT System Board of Regents Rule and state law. If alternative dispute resolution is not successful, the faculty member may request a formal grievance. The request must be submitted, in writing, no later than five (5) days after the date the alternative dispute resolution proceeding concluded.

2. UFGC Hearing

When the UFGC is satisfied that it has collected sufficient information, the UFGC has ten (10) business days to schedule (not conduct) a hearing to which the grievant and respondent are invited. Hearings can be conducted with a minimum of seven (7) UFGC members. The grievant and respondent must provide the UFGC chair a witness list and any written evidence ten (10) business days before the hearing. The grievant and respondent must inform the UFGC of any challenges to the UFGC composition, witnesses, or evidence, no later than five (5) business days before the hearing. Grievance hearings are restricted to the grievant, respondent, advocate(s), the witnesses, and any observer(s) invited by the participants or the UFGC. Witnesses will be present only during their testimony.

- a. The grievant and respondent are responsible for providing the UFGC a list of hearing witnesses and any documentation that will be presented at the hearing. The grievant and respondent are solely responsible for notifying their witnesses of the scheduled date and time of the hearing and the anticipated time they are expected to testify, including when both participants intend to call the same person to testify. Witnesses are not required to participate in grievance hearings, and there is no penalty for non- attendance. The UFGC may proceed with a hearing if the grievant or respondent fails to appear at the scheduled date and time of the hearing.
- b. The grievant will submit a proposed set of written questions to the UFGC ten (10) business days before the hearing. Questions are limited to the action, decision, or treatment related to the subject of the grievance. The UFGC may challenge any question it determines irrelevant.
- c. The grievant and respondent may be accompanied by an advocate for observation purposes. Advocates, as defined in this policy, are permitted to speak at grievance hearings.
- d. The grievant may be accompanied by an attorney. Attorneys are not permitted to speak at grievance hearings.
- e. The grievant and respondent are permitted to: (a) call witnesses on their behalf, (b) question any witness who testifies at the hearing, (c) introduce evidence, and (d) call additional witnesses to rebut previous testimony. All UFGC hearing communications will be carried out with an atmosphere of collegial inquiry. Disrespectful participants will be directed to leave the hearing.
- f. The provost's office will arrange for an audio recording at no cost to the grievant/respondent. The provost's office will provide the grievant/respondent a copy of the audio recording within five (5) business days from the conclusion of the hearing. The provost's office is responsible for maintaining audio file proceedings based on the UNT Record Retention Schedule.
- g. Hearing Format. Formal rules of court, formal rules of evidence, and Roberts Rules of Order do not apply at a UFGC hearing. The suggested timeframes for each part of the grievance hearing may be extended by the UFGC in interest of fairness. The following format applies to UNT UFGC hearings:
  - i. Presiding

The UFGC chair presides over the UFGC hearing and is responsible for keeping the hearing on schedule. The UFGC vice chair will preside over the UFGC hearing if the UFGC chair is unavailable. The UFGC can ask questions of the grievant, respondent, or any witnesses.
  - ii. Grievant's Opening Statement

The grievant presents an opening statement that outlines the reasons for the

grievance and clearly states the desired remedy (5 minutes).

iii. Grievant's Evidence

Following the grievant's opening statement, the grievant may present evidence (documents, witnesses) on the issues that are the basis of the grievance (15 minutes).

iv. Respondent's Opening Statement

After the grievant's presentation, the respondent may deliver an opening statement that responds to the basis for the grievance and provides an explanation as to why the requested remedy should not be granted (5 minutes).

v. Respondent's Evidence

Following the respondent's opening statement, the respondent may present evidence relevant to the issues presented by the grievant (15 minutes).

vi. UFGC Witnesses

The UFGC may call its own witnesses through the UFGC chair. The UFGC chair will notify the grievant and respondent five (5) business days prior to the hearing of any witnesses the UFGC plans on calling (15 minutes).

vii. Rebuttal Evidence

After the respondent's presentation, the grievant may present any rebuttal evidence (10 minutes). After the grievant's rebuttal, the respondent may present any rebuttal evidence (10 minutes).

viii. Summary Statements

When the UFGC deems that nothing can be gained from further evidence presentation, the grievant and respondent may present summary statements (5 minutes each).

3. Grievance Findings and Recommendation

The UFGC meets immediately after the hearing takes place to make findings of fact and recommendations. If there is not a unanimous recommendation, the UFGC may adjourn and resume discussion the next business day. The UFGC will write a written report to the president within ten (10) business days from the hearing date/last meeting. The report (including minority opinions) presents the specific findings of fact/conclusions and a recommendation concerning whether the requested relief should be granted. The individual decisions of UFGC members are to remain confidential. The president will make a final decision on the grievance no later than twenty (20) business days from receipt of the UFGC report and notify the grievant, respondent, UFGC chair, appropriate dean, and provost.

### ***E. Accepted Grievances Other Than RTP***

UFGC-accepted university grievances outside RTP may be reviewed via UFGC subcommittee and voted on by at least a UFGC quorum. The UFGC may use a hearing instead of assigning a subcommittee for grievances outside RTP. Hearings for grievances outside RTP will use the hearing format set out in this policy.

1. UFGC Subcommittee Assignment. Within ten (10) business days of the grievance acceptance, the UFGC chair will appoint a subcommittee charged with reviewing and presenting the grievance to the UFGC. A subcommittee will be composed of a minimum of three (3) UFGC members who are not in the grievant's home academic unit. Subcommittee efforts shall be directed to fact-finding. Reviews may include the involved academic administrators, committees, and faculty members, as well as the respondent. The subcommittee shall prepare a report and present it to the UFGC within forty (40) business days from the date of subcommittee appointment.
2. The UFGC (at least a quorum) will vote on the report and render a final recommendation to the provost no later than ten (10) business days following the UFGC vote with a copy to the grievant and respondent.
3. The provost will make a final decision on the grievance no later than twenty (20) business days from receipt of the UFGC report and notify the grievant, respondent, UFGC chair, and appropriate dean.

### ***F. Non-Tenured Faculty Member Reappointment and Part-Time Faculty Member Grievances***

Non-tenured faculty member grievances related to reappointment and all part-time faculty grievances are heard at the unit- and college-level grievance committees. The dean is the final decision-maker in non-tenured reappointment and part-time faculty grievances.

## **V. References and Cross-References**

[Texas Civil Practice and Remedies Code, Chapter 154](#)

[Texas Education Code § 51.960, Grievance Rights on Certain Personnel Issues](#)

[Texas Government Code § 617.005](#)

[UNT Board of Regents Rule 06.1200, Termination and Revocation of Tenure](#)

[UNT Policy 04.008, Records Management and Retention](#)

[UNT Policy 06.002, Academic Appointments and Titles](#)

[UNT Policy 06.004, Faculty Reappointment, Tenure, and Promotion](#)

[UNT Policy 06.019, Financial Exigency](#)

[UNT Policy 06.029, Academic Program Review and Discontinuation](#)

[UNT Policy 06.035, Academic Freedom and Academic Responsibility](#)

[UNT Academic Titles](#)

**VI. Revision History**

Policy Contact:	Policy Director, Office of the Provost and VP for Academic Affairs
Approved Date:	07/09/2019
Effective Date:	07/09/2019
Revisions:	07/09/2019, 06/2020, 07/27/2023* * - Non-substantive change





**Policy Chapter:** Chapter 6 Faculty Affairs

**Policy Number and Title:** 06.052 Review of Tenured Faculty

---

**I. Policy Statement**

UNT is committed to the consistent and comprehensive review of tenured faculty members in the areas of teaching, scholarship, service, and administration.

**II. Application of Policy**

Tenured Faculty

**III. Policy Definitions**

**A. Administration**

“Administration,” in this policy, means any assignment other than scholarship, teaching, and service that entails duties relating to the operation of a program, institute, center, or like assignment whether the assignment qualifies as set out in section 51.948 of the Texas Education Code.

**B. Professional Development Plan**

“Professional development plan” and “PDP,” in this policy, mean an agreement indicating how specific deficiencies in a faculty member’s performance will be remedied. The generation of the plan is a collaborative effort between a Faculty Professional Development Committee (FPDC) and faculty member. PDPs are approved by the unit administrator, dean, and provost prior to implementation.

**C. Unit**

“Unit,” in this policy, means an academic department/division under the administration of a UNT official with responsibilities for personnel actions related to the unit.

**D. Unit Administrator**

“Unit administrator,” in this policy, means the person responsible for a unit as defined in this policy.

**E. Personnel Affairs Committee**

“Personnel Affairs Committee” and “PAC,” in this policy, mean a group of tenured faculty members comprised of individuals who do not hold an administrative assignment as defined in UNT Policy 06.002, Academic Appointments and Titles, and who are not responsible for faculty salary and evaluation recommendations.

**F. Unsatisfactory Performance**

“Unsatisfactory performance,” in this policy, means the failure to sustain effectiveness in the domains of teaching, scholarship, service, and administration; continued or repeated substantial neglect of professional responsibilities; or incompetence or refusal to carry out

duties that are part of the assigned workload. Examples of unsatisfactory performance include, but are not limited to failure to meet classes, refusal to teach classes within one's area of expertise, or failure or refusal to participate in scholarly activities, service, or administrative activities when these responsibilities are part of the assigned workload. Refusal to consider reasonable suggestions/advice to provide correction or assistance may also be a factor when determining whether a faculty member will be placed on a PDP.

#### **IV. Policy Responsibilities**

The annual review of tenured faculty is designed to support faculty development and sustained effectiveness after tenure is awarded. Reviews occurring after tenure has been granted are not conducted for the purposes of dismissal or re-evaluation of tenure. In addition, reviews occurring after tenure must always protect academic freedom as outlined in UNT Policy 06.035, Academic Freedom and Responsibility.

##### ***A. General Guidelines***

1. Faculty members are expected to earn evaluations of at least sustained effectiveness in the areas of teaching, scholarship, service, and administration (if the faculty member is an administrator) after being awarded tenure.
2. Each unit administrator and Personnel Affairs Committee must review all tenured faculty in the unit annually and provide a written evaluation on the areas of each faculty member's assigned workload.
3. A faculty member who receives a single overall review of unsatisfactory shall be placed on a PDP.
4. Numerical scores and rankings within a unit during an annual evaluation are not necessarily indicative of unsatisfactory performance. Failure to publish or secure external funding in a given year does not, in itself, imply unsatisfactory performance in scholarship. Negative teaching evaluations do not, in themselves, imply unsatisfactory performance in teaching.

##### ***B. Unit Criteria***

1. The tenured faculty of each unit, in collaboration with the unit administrator, is responsible for developing written workload-based performance criteria for the annual review of tenured faculty and for reviewing the criteria no fewer than every six (6) years. Each unit's criteria must be consistent with those of the college and university policy.
2. The dean and provost must approve all unit criteria and ensure the criteria are sufficiently flexible to allow for differences in academic disciplines.
3. The dean will provide said criteria to each tenured faculty member.
4. The unit administrator and dean are responsible for ensuring review criteria is followed.

### **C. Guidelines for Professional Development**

1. A faculty member who receives an unsatisfactory annual review by the Personnel Affairs Committee shall be placed on a PDP.
2. The PDP is initiated with the appointment of a FPDC consisting of tenured faculty only. The FPDC shall be comprised of a member selected by the faculty member under review, who may be from outside UNT; a member appointed by the dean of the faculty member's college in consultation with the unit administrator; and a third individual selected by these two (2) members from a pool of UNT faculty provided by the provost. The third member will serve as the chair of the FPDC. The FPDC may select non-voting members and utilize other resources deemed necessary. The provost may appoint members to serve on the FPDC if the faculty member under review or dean fail to identify a member in a timely manner or the two (2) selected members are unable to agree on a third member in a reasonable time.
3. The FPDC, in consultation with the faculty member, will develop a written, individualized and clear plan that is intended to facilitate professional development and remedy all deficiencies noted in the annual review. The PDP will:
  - a. Identify specific deficiency(ies) to be addressed;
  - b. Identify factors that impeded or may have impeded the ability or opportunity to sustain effectiveness in the area or areas evaluated as unsatisfactory;
  - c. Identify institutional resources available to address the identified deficiency(ies);
  - d. Identify specific goals or outcomes intended to demonstrate that the noted deficiency(ies) have been corrected;
  - e. Describe the activities to be undertaken to achieve agreed-upon outcomes;
  - f. Articulate the criteria for assessing progress toward the agreed-upon goals or outcomes;
  - g. Identify metrics to assess progress; and
  - h. Establish timelines and milestones for evaluating progress.
4. The PDP must be approved by the unit administrator, dean, and provost; and communicated to the faculty member in writing prior to its implementation. The FPDC will monitor progress, provide mentorship as needed, and submit periodic reports, at least annually, to the unit administrator and the faculty member.

### **D. Removal from the PDP**

1. A faculty member may be on a PDP for up to two (2) calendar years. At the end of each year, the FPDC will determine whether the faculty has achieved the outcomes identified in the plan.
2. If the FPDC determines the faculty member has successfully completed the PDP before

the end of the second year, it may submit a report to the unit administrator, dean, and the provost recommending the faculty member be removed from the plan. The provost will determine whether to recommend revocation of tenure and termination of employment, taking into account the faculty member's record and all annual reviews.

3. If the FPDC determines that the agreed upon outcomes have not been achieved at the end of the second year, it will submit a written report to the unit administrator identifying the reason(s) for its determination. Upon receipt of the report, the unit administrator may request additional information or clarification from the FPDC and, once satisfied with the completeness of the report, will recommend to the dean whether the faculty member's tenure should be revoked and employment terminated. Upon receipt of the report and recommendations, the provost will determine whether to recommend revocation of tenure and termination of employment, taking into account the faculty member's record and all annual reviews.
4. A faculty member who disputes the FPDC's report or any accompanying recommendation(s) may appeal in accordance with department or college/school guidelines and university policy. A faculty member may appeal the report and recommendation(s) on any basis, including but not limited to fairness, substantive or procedural grounds, academic freedom, and academic responsibility.
5. The university has the burden of proving that tenure should be revoked and is responsible for publishing an appeal procedure that complies with 51.942 of the Texas Education Code, Regents Rule 06.901 and applicable UNT policies.

**V. References and Cross-References**

- [Texas Education Code § 51.948, Restrictions on Contracts with Administrators](#)
- [Texas Education Code § 51.942, Post-Tenure Review](#)
- [UNT System Board of Regents Rule 06.902, Faculty Research and Creative Activity](#)
- [UNT System Board of Regents Rule 06.1101, Evaluation of Tenure](#)
- [UNT Policy 06.002, Academic Appointments and Titles](#)
- [UNT Policy 06.027, Academic Workload](#)
- [UNT Policy 06.035, Academic Freedom and Academic Responsibility](#)

**VI. Revision History**

Policy Contact:	Policy Director, Office of the Provost and VP for Academic Affairs
Approved Date:	05/18/2018
Effective Date:	05/18/2018
Revisions:	-

The University of North Texas at Dallas Policy Manual	Chapter 6.000
<b>6.002 Faculty Appointments – Full Time</b>	Faculty Affairs

**Policy Statement.** The primary purpose of the University is the education of its students. Faculty members must be recruited, retained, promoted and tenured to address the academic goals and mission of the institution. A variety of faculty positions are needed to address the instructional and programmatic requirements of a vibrant and growing institution. The faculty as a whole must meet the University’s needs in the areas of teaching and student success, research, scholarly and creative activity, and service and public engagement.

**Application of Policy.** This policy applies to all full-time faculty members. See Part-Time Faculty policy for rules related to part-time faculty.

**Types-Faculty Appointments.**

The types of faculty appointments are as follows:

1. Tenured Appointment is an appointment of a University faculty member that may not be terminated except for adequate cause, for reasons of financial exigency, or discontinuance of an academic program.
2. Probationary Appointment is an appointment as assistant professor, associate professor, or professor during the period of service that precedes determination of tenure status.
3. Term Appointments are all full-time appointments for a fixed term where the individual is part of the instructional staff with the rights and responsibilities of faculty members during the appointment. These appointments may include lecturers, senior lecturers, principal lecturers, visiting faculty, scholar in residence, clinical assistant or associate professors and others as may address the needs of the institution. Individuals appointed for fixed terms are not eligible for tenure and do not accrue credit toward tenure.
3. Joint Appointment is a faculty appointment which may be shared between or among academic units or between campuses within the UNT System.

**Types of Faculty Positions.**

The types of faculty positions are as follows:

1. Visiting Faculty are appointments for a fixed term to carry out instructional or research responsibilities within an academic unit. Professional credentials are required for appointment as a visiting faculty member. Visiting faculty members may be associated with another university or agency and may be engaged as a research associate or post-doctoral faculty member. Individuals appointed in this position are not eligible for tenure.
2. Scholar in Residence is an appointment to a fixed-term on the basis of noteworthy experience and credentials. Individuals appointed to this position are not eligible for tenure.
3. Researcher is an appointment for a fixed term to specifically work on one or more sponsored projects. A researcher may be affiliated with one or more academic units under specific terms and conditions set out in an agreement between the individual and the university. Individuals appointed in this position are not eligible for tenure.
4. Lecturer is an appointment for a fixed term primarily to meet the instructional needs of the University. Based on annual evaluations and the needs of the institution, the appointment may be renewed upon recommendation by the appropriate Dean or department chair and with concurrence by the Provost. Individuals appointed to this position are not eligible for tenure.
5. Senior Lecturer is an appointment for a fixed term primarily to meet the instructional needs of the University. Individuals appointed to this position must have served as a Lecturer at the University for at least five years and exhibited exemplary performance, be terminally qualified in the discipline, and recommended by the appropriate Dean and approved by the Provost. Based on annual evaluations and the needs of the institution, the appointment may be renewed by the appropriate Dean or department chair and with concurrence by the Provost. Individuals appointed in this position are not eligible for tenure.
6. Professor of Practice is an appointment for a fixed term reserved for individuals who have a particular expertise in a given area based on experience and education rather than academic credentials. This appointment may be renewed at the sole discretion of the University based on an annual evaluation. Individuals appointed in this position are not eligible for tenure.
7. Assistant Professor is a tenure-track faculty member holding a terminal degree in a relevant discipline appointed to carry out the duties of teaching and student success, research, scholarly and creative activity, and service and public engagement.
8. Associate Professor is a tenured or tenure-track faculty member who, in addition to performing the duties expected of an assistant professor, is expected to show substantial professional achievements, evidenced by an appropriate combination of teaching and student success, research, scholarly and creative activity, and service and public.

9. Professor is tenured or tenure-track faculty member who, in addition to performing the duties expected of an associate professor, is recognized for outstanding scholarly or professional accomplishments.
  
10. Clinical Assistant Professor is a non-tenure track faculty position that engages in teaching, providing a practice or service activity in such a way that it serves as a framework for teaching, and/or supervising students in academic, clinical or field settings. Clinical Assistant Professor appointees will contribute creatively to administrative, academic or research activities in the respective school, participate in institutional governance, and contribute to University and public service.
  
11. Clinical Associate Professor is a non-tenure track faculty position that engages in teaching, providing a practice or service activity in such a way that it serves as a framework for teaching, and/or supervising students in academic, clinical or field settings. Clinical Associate Professor appointees will have 5-years of experience and contribute creatively to administrative, academic or research activities in the respective school, participate in institutional governance, and contribute to University and public service.

### **Procedures and Responsibilities**

Normally, faculty appointments are made by the Provost with affirmative recommendations at the department and school level. Under extraordinary circumstances, appointments may be made by the Provost with concurrence of the President in light of institutional needs and priorities. Faculty appointments shall be offered only in accordance with the policies and regulations of the University and with appropriate administrative approval.

#### **1. Recruiting**

Faculty members are recruited to support the mission of the University by following approved recruiting practices. The Provost, Dean, and Department Chair or Program Coordinator are responsible for developing qualifications for vacant positions and conducting the search for the best qualified candidate to advance the institutional mission and goals. Assistance will be provided by the Department of Human Resources in all faculty searches.

#### **2. Hiring Requirements**

Faculty members are subject to a criminal history background check. Successful passing of the background check is a requirement for employment at the University. In addition, faculty members must be able to document that they are eligible to work in the United States.

#### **3. Joint Appointments**

If a faculty appointment is divided among several departments or divisions at the University or within the UNT System, each unit must normally make an affirmative recommendation regarding the appointment; however, one department must be designated as the primary or home department. The percentage of a joint appointment may be changed only by mutual agreement among the Department Chairs, Deans and Provosts as applicable. The appointment must be at the same rank in each division. Individuals holding joint appointments normally will have a portion of their salary paid on a pro-rata basis by each of the units. Individuals holding joint appointments will be fully participating faculty members in each of the academic units, with teaching, scholarship and service expectations negotiated among the faculty member and the respective units. The details of the joint appointment, such as voting rights in the academic units, evaluation procedures, assignments of duties, promotion and tenure, etc., should be spelled out in a written document before the effective date of the appointment.

#### **4. Term Appointments**

Term appointments shall terminate at the expiration of the stated period of appointment without notification. All continuing term faculty members will be evaluated annually and may be renewed based upon the needs of the institution and annual evaluations with the recommendation of the Department Chair or Dean and with the concurrence of the Provost. Term faculty members may receive merit increases in pay in accordance with University policy.

#### **References and Cross- References.**

TEX. EDUC. CODE §51.943

UNT System Board of Regents Rule 06.300.

Approved: 8/30/2010

Effective: 8/30/2010

Revised: 3/18/2013, 1/29/2014, 6/1/17, 12/16/2022



<b>The University of North Texas at Dallas Policy Manual</b>	Chapter 6.000
<b>6.006 Probationary Periods</b>	<b>Faculty Affairs</b>

**Policy Statement.** The University of North Texas at Dallas strives to recruit and retain the best faculty members who will contribute to academic excellence and student success. In recruiting faculty members, the institution has the responsibility to determine the contributions each faculty member will make towards achieving goals of excellence and high academic quality. The probationary period allows an assessment of a faculty member’s potential contributions to institutional goals prior to the award of tenure.

The institution recognizes the inherent challenges in balancing work and life away from work. Excluding time from the probationary period allows balance between work and life away from work for tenure-track faculty members who experience significant personal obligations (e.g., medical, family or other circumstances that interfere with academic work) during the probationary period. An extension of the probationary period is never automatic and will be granted only when it is in the best interests of the university and its faculty following the criteria below.

**Application of Policy.** This policy applies to all tenure-track faculty members.

**Definitions.**

**Probationary Period.** “Probationary Period” is the maximum amount of time a faculty member may be appointed in a tenure-track position prior to a determination being reached on granting or denial of tenure.

**Procedures and Responsibilities.**

The probationary period shall be specified for each individual at the time of his or her initial appointment. Except as provided by probationary time period exclusions identified below, the maximum probationary period is the equivalent of **six** years of full-time faculty service in the university. Faculty members would typically be evaluated over their first **five** years of the probationary period and apply for tenure in the **six** year. This probationary period is counted in one year increments beginning each fall semester. The probationary period for faculty members whose appointment starts in January of an academic year shall begin in the following September. Each year of service for which the faculty member is employed full time shall be counted as a full year of probationary service once the probationary period begins. Time spent on an approved leave of absence without pay is not counted toward time spent in probationary service.

These provisions do not preclude an early application for the granting of tenure or promotion; however, such an application should only be considered in rare and extraordinary circumstances and tenure and/or promotion should only be granted where the case exhibits extraordinary merit across all areas of responsibility with particular emphasis on work accomplished while at the University of North Texas at Dallas. Denial of early tenure will not preclude an opportunity to later re-apply for tenure within the probationary period.

### **Notice of Termination.**

In cases of terminations during the probationary period, notification will be given no later than March 1<sup>st</sup> during the first year of probationary service, December 15<sup>th</sup> during the second year of probationary service and by May 31<sup>st</sup> for years three through six of probationary service. In the latter case, the faculty member will be given a full terminal year of employment after notification to find other employment. Therefore, the next academic year will be the last year of appointment.

### **Exclusions from the Probationary Period.**

A tenure-track faculty member, under certain circumstances, may request that up to one year be excluded from the probationary period. Such circumstances may include, among others, the birth or adoption of a child, responsibility for managing the illness or disability of a family member, serious persistent personal health issues, and/or death of a parent, spouse, or child. For purposes of this policy, a family member is the employee's spouse, child, parent, brother, sister, grandparent, or grandchild.

The faculty member should submit his or her request for time exclusions in writing to the appropriate department chair and dean. It is the responsibility of the faculty member to provide appropriate documentation to adequately demonstrate why the request should be granted. Faculty members should make a request as soon as they believe circumstances warrant approval of the request. When feasible, the faculty member should submit his/her request in advance of the academic year or semester in which the exclusion is necessary. In any case, a request for exclusion may not be submitted after the end of the spring semester of the faculty member's sixth year of full-time probationary service. A maximum of two, one-year periods may be excluded from the probationary period.

### **Review Process.**

Upon receipt of a faculty member's request to exclude time from the probationary period, the department chair and dean will review the request and make a written recommendation to the Provost including reasons in support or against the request. In addition to the faculty member's written request and the recommendation of

department chair and dean, the Provost may review the faculty member's annual evaluations and progress toward eligibility of award of tenure prior to the event leading to the request for time exclusion. The approval of a request for exclusion of time from the probationary period will be put in writing and include the reasons for the exclusion, the period of the exclusion, its effect upon the date of tenure review, and the plan for the faculty member to meet his or her instructional or other academic responsibilities during the excluded period. The faculty member must sign the approval document prior to implementation of the exclusion. A denial will also be documented in writing and include the reason(s) or basis for the denial. The Provost's decision to approve or deny the request is final.

### **References and Cross-references.**

Regents Rules 06.200, 06.1000;

UNT Dallas Policies 6.002, 6.009

Approved: 8/26/2010

Effective: 8/26/2010

Revised: 2/2/2013

<b>The University of North Texas at Dallas Policy Manual</b>	Chapter 6.000
<b>6.007 Academic Workload</b>	<b>Faculty Affairs</b>

**Policy Statement.** The purpose of this policy is to establish procedures for assigning the academic workload of faculty. The workload of faculty members encompasses a variety of teaching and student success, research, scholarly, and creative activities, and service and public engagement activities. When determining the academic workload of faculty members, the University will give appropriate weight to these duties and responsibilities in light of institutional needs.

**Application of Policy.** This policy applies to all full-time faculty members.

**PROCEDURES AND RESPONSIBILITIES.**

**Faculty Academic Workloads.**

The responsibility for assigning faculty workloads shall rest with the department chairs and division deans with faculty consultation. The Provost will approve faculty workloads in advance of assignments. Workloads for faculty shall be determined to maximize the institution’s overall quality, efficiency, and effectiveness. The collective faculty work assignments should yield a balanced portfolio of activities for each academic degree program consistent with the mission of the university. The standard teaching load for non-tenure-track faculty is 12 credit hours per semester. The standard teaching load for tenured and tenure track faculty is 12 credit hours per semester with a possibility of 9 credit hours per semester for tenured and tenure track faculty with demonstrated research productivity. Faculty workloads may be adjusted to reflect other assignments recommended by the deans and approved by the Provost to achieve the needs and goals of the University. Evidence of maintaining currency in one’s teaching field is required to maintain the standard teaching load for tenured and tenure-track faculty.

**Chair Academic Workloads**

Departmental chairs are appointed by the appropriate dean for a three year period of time. The appointment is renewable, not to exceed six years. Workloads for chairs will be determined to maximize the institution’s overall quality, efficiency and effectiveness. The standard teaching load for departmental chairs is 6 credit hours per semester. Chair workloads may be adjusted to reflect other assignments recommended by the deans and approved by the Provost to achieve the needs and goals of the University. Evidence of maintaining currency in one’s teaching field is required to maintain the standard teaching load for chairs.

The Provost shall be responsible for reviewing the division and departmental teaching loads and related academic assignments and for monitoring compliance. Each semester, the Provost will prepare a report to the President of the University that addresses compliance with the institutional rules and regulations. This report will include copies of any forms the institution may develop for reporting individual faculty academic workloads. These reports will provide the means for demonstrating the University’s accountability in faculty workload assignments.

Within 30 days of the end of each academic year, the President of the University will file such reports as are required by Regents Rule 06.602 and § 51.402(c) of the Texas Education Code with the Board of Regents and the Texas Higher Education Coordinating Board.

**Faculty Complaints.**

Faculty members may file a written complaint regarding a workload assignment in accordance with the applicable appeals procedure in the Faculty Grievance Policy (6.017).

**References and Cross-references.**

TEX. EDUC. CODE §51.402

Regents Rule 06.600.

Approved: 8/26/2010

Effective: 8/26/2010

Revised:4/17/2013

<b>The University of North Texas at Dallas Policy Manual</b>	Chapter 6.000
<b>6.008 Merit Evaluation of Faculty</b>	<b>Faculty Affairs</b>

**Policy Statement.** Faculty members at the University of North Texas at Dallas will have a variety of duties and responsibilities associated with the mission of the institution, including the essential functions of teaching and student success, research, scholarly, and creative activities, and service and public engagement. Annual merit evaluations will be based on the quality of the faculty member’s contributions in these areas of responsibility. Work in these areas constitutes the faculty member’s professional obligation to the University.

**Application of Policy:** This policy applies to all full-time faculty members.

**PROCEDURES AND RESPONSIBILITIES.**

**Faculty Merit Evaluations.**

The Provost shall publish a schedule for accomplishing the annual performance evaluations that allows faculty participation in the annual review process at the departmental and division levels.

Each department (or the division) shall have clearly formulated, written, and publicly-accessible performance criteria upon which the annual review will be based. These performance criteria must be made known to all faculty members to ensure that all faculty members are aware of the criteria by which their annual performance will be evaluated. These performance criteria will evaluate teaching and student success, research, scholarly, and creative activity, and service and public engagement consistent with the mission of the university.

In the area of teaching and student success, a portfolio approach will be used to evaluate the faculty member’s contributions to teaching and student success. This evaluation will consider all evidence presented to document quality instruction, student engagement and success, and continuous improvement in teaching pedagogy.

In the area of research, scholarly, and creative activity, the focus is on both the quality and quantity of research, scholarly works and creative activity. Quality research and scholarly works, whether basic, applied, or pedagogical, constitute valuable contributions. The higher the quality of these works, the lower the number that may be acceptable. This emphasis on quality leads to an expectation that scholarly works and creative activity be peer-reviewed and refereed as indicators of quality. In evaluating the quality of research, both the inherent quality of the work itself and the quality of the outlet selected (journal, conference etc.) will be considered. Indicators of the quality of the outlet selected include, but are not limited to, the

nature of the review, the acceptance rate, the composition of the editorial board, and the reputation of the outlet.

In the area of service and public engagement, contributions to the department, the division, the university, the community, the City of Dallas, and to one's profession will be considered. Taking on leadership roles in service and public engagement will receive the most weight in this area. The quality of participation and level of commitment required for a given activity will be considered in the evaluation.

Each full-time faculty member (tenured, tenure-track, and term) shall be evaluated annually based on criteria established by the Department Chair Dean and approved by the Provost. The Department Chair will confer with the Division Dean regarding each individual evaluation before meeting with the faculty member. Each full-time faculty member shall be informed in writing of the results of her/his review.

All of the faculty member's assigned duties will be given weight in the evaluation. Each annual merit evaluation must be tailored to the specific workload assignment, and therefore merit evaluation procedures will take into account the varying workloads in existence at the time the merit review takes place. In arriving at an overall evaluation rating for a faculty member, the rating obtained in each major area of responsibility (teaching and student success, research (i.e., scholarly and creative activity) and service and public engagement) will be weighted by the percentage of time allocated to each area for the year. In addition to an overall performance rating, each faculty member will receive an overall cumulative performance evaluation of either "satisfactory" or "unsatisfactory."

For probationary faculty, the relationship between annual merit evaluations and promotion and tenure reviews must be articulated in departmental and division policies. For tenured faculty, the relationship between work assignment and annual merit evaluations and how they impact promotion to professor must be clearly articulated in division policies.

### **Faculty Complaints.**

Faculty members may file a written complaint regarding an annual evaluation in accordance with the applicable appeals procedure in the Faculty Grievance Policy (#6.017).

**References and Cross-references.**

None.

Approved: 8/26/2010

Effective: 8/26/2010

Revised: 2/1/2013



<b>The University of North Texas at Dallas Policy Manual</b>	Chapter 6.000
<b>6.009 Tenure and/or Promotion Review</b>	<b>Faculty Affairs</b>

**Policy Statement.** An academic institution’s strength lies in its faculty. The University of North Texas at Dallas must be expected to improve with each promotion and tenure decision, and, therefore, each decision must result in a progressively stronger faculty and a faculty dedicated to the mission and strategic goals of the institution. Procedures and criteria relating to promotion and tenure will support and enhance academic quality and student success.

**Application of Policy.** This policy applies to all full-time tenured and tenure-track faculty members.

**Definitions.**

1. **Probationary Appointment.** “Probationary Appointment” means an appointment as assistant professor, associate professor, or professor (as defined in UNTD Policy #6.002, Faculty Appointments) during the period of service that precedes the awarding of tenure.
2. **Tenure.** “Tenure” carries with it the promise of continuous employment absent dismissal for cause, financial exigency, or discontinuance of academic programs.
3. **Promotion.** “Promotion” means an elevation in rank either from assistant to associate professor or associate to full professor.
4. **Initial Appointment.** “Initial Appointment” is an appointment granted to an individual who has not previously held a faculty appointment at the University of North Texas at Dallas in a tenure-track position.

**Procedures and Responsibilities.**

The academic department has the greatest disciplinary expertise in evaluating the accomplishments of the candidate for appointment or reappointment, promotion and/or tenure. The department chair and dean have the responsibility for evaluating the candidate to ensure recommendations for appointment or reappointment, promotion and/or tenure meet the expectations of the department and division, respectively. The Provost has the responsibility to evaluate the candidate to ensure that university standards are met and that the review process conforms to institutional policies and procedures.

### **Review of Probationary Appointments.**

All tenure-track faculty members shall be reviewed by the department chair for reappointment during each year of the probationary period. This process will be conducted annually based on a timetable set by the Provost. The department chair will solicit input each year from a faculty committee consisting of faculty members of higher rank than the faculty member under review. In each year, the department chair will make a recommendation as to whether the faculty member should be reappointed and forward this recommendation to the Dean. The Dean will then review the faculty member's performance and the recommendation of the department chair and make a separate recommendation about reappointment and forward it to the Provost. The Provost will then review the faculty member's performance and both the recommendations of the department chair and the dean, and make the final decision on reappointment of the faculty member. This decision will be communicated in writing to the faculty member. A comprehensive mid-point review conducted in the fourth year of the probationary period will also be conducted to specifically evaluate progress toward tenure and promotion. The Provost's decision on reappointment will be made as outlined in Policy 6.006 Probationary Periods.

The criteria for reappointment are based on the criteria for tenure and promotion. To be eligible for reappointment, a tenure-track faculty member must show evidence of satisfactory progress towards a successful tenure and promotion review at the end of his or her probationary period. The procedure for conducting the reappointment review is similar to that for the tenure and promotion review, and the Provost's decision is final.

Any faculty member not recommended for reappointment by the Provost during any year of the probationary period will be given a terminal contract in accordance with the timelines set forth in Policy #6.006 Probationary Periods.

### **Criteria for the Granting of Tenure.**

Tenure procedures and criteria will be provided in writing to the faculty. Tenure may only be granted to faculty members holding the titles of professor or associate professor. However, an assistant professor may be considered for tenure and promotion to associate professor concurrently. Only the Board of Regents may confer tenure.

Each tenure-track assistant professor shall be reviewed for tenure based upon the strength of his or her application for tenure no later than during the sixth year of service. The Department Chair, Dean, and Provost shall recommend to the President: (a) that he or she be promoted to associate professor with tenure; or (b) that he or she be placed on terminal appointment for the next (*i.e.*, seventh) year. Assistant Professors who do not qualify for promotion to the rank of Associate Professor shall not be recommended for tenure. The tenure review process will be conducted annually based on a timetable set by the Provost. Each tenure-track associate or full professor shall be reviewed for tenure no later than during the last year stated in their

appointment letter or the sixth year of service, whichever comes first. Tenure will be conferred upon the recommendation of the Department Chair, Dean, and Provost, with the concurrence of the President, and approval by the Board of Regents. Promotion to associate or full professor may be granted concurrently with the granting of tenure; however, this is not automatic and must be considered as a separate action.

A recommendation for tenure will be based on the critical review of explicit evidence accumulated during the professional career to date and included in the application for tenure prepared by the faculty member. The granting of tenure requires evidence of excellence and substantial professional achievements in the functions of teaching and student success, research, scholarly, and creative activities, and service and public engagement. Distribution among these various activities may be expected to vary somewhat from one discipline to another and as a matter of University need; however, contributions in one area alone will not qualify an individual for a recommendation for tenure. A recommendation for tenure will consider the record of excellence and substantial professional achievements in teaching and scholarship in the context of, and consistent with, levels expected at peer or aspirational peer programs. Scholarly achievement must be of significance and must demonstrate a trend toward continual growth toward a national reputation with particular emphasis on scholarly work accomplished during the probationary period at the University of North Texas at Dallas. Any recommendation for tenure, based on evidence of excellence and substantial professional achievements, should also include, as far as possible, indications that the individual will continue to grow and develop professionally. A recommendation for tenure must carry with it the assurance, so far as can be determined, that the faculty member exhibits professional integrity; adheres to high standards of professional ethics; understands the nature of membership in a community of scholars and has the ability and desire to work as a member of a group with collegiality while retaining all rights of individual expression; and demonstrates a sense of responsibility for the well-being of the University of North Texas at Dallas and a commitment to work for the accomplishment of its goals.

Any faculty member not recommended for tenure by the end of the probationary period will be given a terminal contract accordance with the timelines set forth in Policy 6.006 Probationary Periods.

### **Criteria for Promotion.**

Promotion procedures and criteria will be provided in writing to the faculty. Recommendations for promotion are based on the critical review of explicit evidence accumulated during the professional career to date, with particular emphasis on academic work accomplished during the appointment at the University of North Texas at Dallas. Promotion will normally be considered after the individual faculty member has demonstrated excellence for a sustained period of at least six years in a particular academic rank. Service for this length of time is normally required so that performance of academic duties provides evidence that the individual has attained regional, national or international-level stature and sufficient justification for

promotion. A sufficiently strong record is required also so that a prediction can be made that continuous, long-term, and high-quality achievement will continue.

A promotion to associate professor requires evidence of excellence and substantial professional achievements sustained over time in the functions of teaching and student success, research, scholarly, and creative activities, as well as service and public engagement, sufficient for earning a regional or national reputation.

A promotion to full professor requires evidence of excellence and outstanding professional achievements sustained over time in the functions of teaching and student success, research, scholarly, and creative activities, as well as service and public engagement, sufficient for earning a national or international reputation. Distribution among the various academic activities (teaching and student success, research, scholarly and creative activities, service and public engagement) may vary somewhat across faculty as a matter of departmental and/or divisional need. Contributions exclusively in one area will not normally qualify an individual for promotion. It is understood that variable work assignments within the departmental and/or divisional context may not have given each faculty member under consideration for promotion an equal opportunity for accomplishment in each area of academic work, but there must be evidence of excellence across duly constituted assignments.

A recommendation for promotion, based on evidence of excellence and professional achievements, should also include, so far as possible, indications that the individual will continue to grow and develop professionally. It also must carry with it the assurance, so far as it can be determined, that the individual will continue to practice professional integrity and adhere to the highest standards of professional ethics; that the individual is a contributing member in the community of scholars and works well as a member of a group with collegiality while retaining all rights of individual expression; and that the individual demonstrates responsibility for the well-being of the University of North Texas at Dallas and a commitment to work for the accomplishment of its goals.

The promotion review process will be conducted annually based on a timetable set by the Provost. The procedures for conducting promotion review will be provided in writing to faculty.

### **Ad Hoc Committee on Tenure and Promotion.**

The Provost is responsible for ensuring that any individual who is considered for tenure before the institution has a sufficient number of faculty with the credentials necessary to establish departmental, division and/or institutional promotion and tenure committees has demonstrated significant academic work in his or her discipline; demonstrated excellence and substantial professional achievements in the areas of teaching and student success, research, scholarly and creative activities, and service and public engagement in the context of, and consistent with, levels expected at peer or aspirational peer programs; and demonstrated a desire to work as a member of a group and understands the nature of membership in a community of scholars. The Provost may appoint a university ad hoc committee on tenure and promotion to assist with this responsibility.

### **Review of the Dossier by the Ad Hoc Committee on Tenure and Promotion.**

The university ad hoc committee on tenure and promotion, if appointed, shall be comprised of a minimum of three members who shall have full-time, tenured faculty status at a component institution of the University of North Texas System or at another comparable institution of higher education. The committee shall have discretion, for consulting purposes only, to include a full-time, tenured faculty member at the University of North Texas in a like or similar discipline to the candidate. This committee is charged with:

- i. Collecting all information necessary to determine whether the candidate's academic work meets the standards of his or her discipline and the tenure expectations of the institution, including: a complete and current curriculum vitae; letters from external reviewers (if appropriate); evidence whether the candidate has been granted tenure at another institution; information concerning whether the candidate desires to work as a member of a group and understands the nature of membership in a community of scholars;
- ii. Critically reviewing information accumulated during the candidate's professional career, to date, to determine whether the academic work is significant within his or her discipline and whether the work demonstrates excellence and substantial professional achievements in the areas of teaching and student success, research, scholarly and creative activities, and service and public engagement in the context of, and consistent with, levels expected at peer or aspirational peer programs; and
- iii. Recommending to the Provost whether the candidate should be awarded tenure, subject to approval by the President and UNT System Board of Regents.

### **Review of Dossier by Provost.**

Upon review of the dossier and recommendation from the university ad hoc committee on tenure and promotion, the Provost shall recommend to the President whether the candidate should be submitted for tenure to the UNT System Board of Regents. Except for individuals who are being considered for tenure prior to employment at UNT Dallas, the Provost must inform the candidate, in writing, of the reasons for a negative recommendation.

### **Action by President.**

Upon receipt of a recommendation for tenure, the President may transmit his or her recommendation for tenure to the Board of Regents. Approval by the Board becomes official at the beginning of the academic year following approval unless otherwise stated in the Board Order. Except for individuals being considered for tenure prior to employment at UNT Dallas, a candidate not receiving a positive recommendation under this section shall receive a terminal contract for the academic year following the President's final decision.

### **Due Process in Case of Negative Decisions on Reappointment, Promotion or Tenure.**

Upon notification by the Provost of a negative decision regarding reappointment or a negative recommendation regarding tenure or promotion, the candidate may appeal the decision following the procedures set forth in the Faculty Grievance Policy.

### **References and Cross-references.**

Tex. Educ. Code §§ 51.943, 51.960; Regents Rules 06.1000, 06.1204; UNTD Policy 6.017, Faculty Grievance; UNTD Policy 6.006, Probationary Periods.

Approved: 8/18/2010

Effective: 8/18/2010

Revised: 4/19/2013

Policies of the University of North Texas	Chapter 06
<b>6.010 College of Law Renewable Term Faculty Appointments</b>	<b>Faculty Affairs</b>

**Policy Statement.** The primary purpose of the UNT Dallas College of Law (“College of Law”) is the education of its students in preparation for a career in law. Faculty members must be recruited, retained, and promoted to address the academic goals and the mission of the College of Law. Consistent with its mission and the – ABA Standards and Rules of Procedure for Approval of Law Schools, along with its corresponding Interpretations (“ABA Standards”), full-time, non-tenure track faculty members, including those within the College of Law’s Department of Experiential Education, Department of Academic Success and Bar Readiness, Department of Legal Writing, and Law Library (collectively “COL Renewable Term Faculty”) shall be provided a form of security of position reasonably similar to tenure, and non-compensatory perquisites reasonably similar to those provided to tenured and tenure-track full-time faculty members within the College of Law. All College of Law faculty, including COL Renewable Term Faculty, are governed by the Academic Freedom and Responsibility policy, which is set forth in Section 6.001 of the University of North Texas at Dallas Policy Manual (“UNT Dallas Policy”).

COL Renewable Term Faculty participate in service to the College of Law. The College of Law By-Laws state that COL Renewable Term Faculty are eligible to (i) serve on committees, as members or chairs, and (ii) vote in all matters except the hire of, promotion of, or recommendation of tenure for tenure-track or tenured faculty.

**Application of Policy.** This policy applies only to UNT Dallas College of Law (COL) Renewable Term Faculty.

**Definitions.**

1. **COL Renewable Term Faculty.** “COL Renewable Term Faculty” means full-time, non-tenure-track faculty members in Experiential Education, Academic Success and Bar Readiness, Legal Writing, and the Law Library. These faculty have the following titles: Professor of Practice Experiential Education, Professor of Practice Academic Success and Bar Readiness, Professor of Practice Legal Writing, and Professor of Practice Law Library. These faculty are referred to in this policy as Professor of Practice or Senior Professor of Practice.
2. **Professor of Practice.** “Professor of Practice” is an appointment for a fixed term for COL Renewable Term Faculty members who have a particular expertise in a given area based on experience and education. These faculty members engage in service and teaching or supervising students in academic, clinical, or field settings to meet the instructional needs of the College of Law and the accreditation standards of the ABA.

3. Senior Professor of Practice. “Senior Professor of Practice” is an appointment for a fixed term for a COL Renewable Term Faculty member who has served as a Professor of Practice at the College of Law for at least five (5) consecutive years. These faculty members engage in service and teaching or supervising students in academic, clinical, or field settings to meet the instructional needs of the College of Law and the accreditation standards of the ABA Standards.
4. Dean. The term “Dean” as used in this policy refers only to the Dean of the College of Law.
5. Provost. The term “Provost” as used in this policy refers only to the Provost of UNT Dallas.
6. Criteria. “Criteria” are the criteria for teaching and service set out in UNT Dallas College of Law Tenure Definitions and Criteria. The portions of the Criteria that address scholarship do not apply to Renewable Term Faculty.

### **Procedures and Responsibilities.**

1. Professor of Practice Procedures.
  - a. Tenure eligibility. COL Renewable Term Faculty are not eligible for tenure in this rank. However, they are eligible to apply for tenure-track or tenured positions, but the terms served in positions covered by this policy are not counted towards tenure, as defined in UNT Dallas Policy Section 6.009.
  - b. Recruiting and Hiring. Recruiting and hiring practices will be conducted in accordance with the practices described in UNT Dallas Policy Section 6.002 and Section 4.6.C of the College of Law By-Laws.
  - c. Initial Appointment. The initial appointment as a Professor of Practice will be for a one-year term. The appointment may be renewed for a subsequent one-year term based on the needs of the College of Law and conditioned on satisfactory performance as determined by the Dean’s annual evaluation and pursuant to UNT Dallas Policy. The Criteria will be provided to each Renewable Term Faculty member at the time of their initial appointment.
  - d. Performance Evaluations. All performance evaluations required by this policy, whether conducted by the Dean or the College of Law Retention, Promotion and Tenure Committee (RPTC), will be conducted using the Criteria.
  - e. Subsequent Three-Year Appointment. If the Professor of Practice completes two successive one-year appointments, he or she shall be eligible to receive a three-year appointment conditioned on the needs of the College of Law and satisfactory performance as determined by the Dean’s annual evaluations and pursuant to UNT Dallas Policy.
  - f. Presumptively-Renewable Five-Year Appointment. If the Professor of Practice completes a three-year appointment, they are eligible to receive a presumptively-renewable five-year



appointment (“Five-Year Appointment”), which is conditioned on the needs of the College of Law and satisfactory performance as determined by the Dean’s annual evaluations.

- i. Process. In the second year of their Three-Year Appointment, a subcommittee designated by the RPTC, which shall include the Professor of Practice’s direct supervisor, a COL Renewable Term Faculty member, and two members of the RPTC, will review the faculty member’s annual evaluations in accordance with UNT Dallas Policy 6.008 and the Criteria to determine whether the faculty member’s performance has been satisfactory and whether a Five-Year Appointment should be recommended. After review of the records, the subcommittee will make a recommendation to the Dean, who shall make a recommendation to the UNT Dallas Provost. The UNT Dallas Provost will decide whether to approve or deny the Five-Year Appointment and will notify the dean and faculty member of the decision.
  - ii. Denial of Five-Year Appointment. If the faculty member is denied a Five-Year Appointment, the following year shall be the Professor’s terminal year. The denial of a Five-Year Appointment may be grieved in accordance with UNT Dallas Policy Section 6.017.
- g. Promotion to Senior Professor of Practice.
- i. Application. Upon request, the chair of College of Law Retention, Promotion, and Tenure Committee (“RPTC”) will provide the applicable COL guidelines to an applicant seeking to apply for promotion from Professor of Practice to Senior Professor of Practice. The applicant will then submit an application for promotion, along with their promotion dossier, to the RPTC for review and recommendation within their fifth year as a Professor of Practice, or at any time thereafter.
  - ii. A promotion dossier should include the following:
    - a) Curriculum Vitae;
    - b) Personal Narrative (candidate “makes the case” for promotion);
    - c) Annual Performance Evaluations;
    - d) Teaching Information;
      - 1) Comments about courses taught, experiences, grading, etc.;

- 2) Statement of teaching philosophy;
  - 3) Course syllabi for each course (only one per course, if taught more than once);
    - i. Student evaluations for all classes taught;
    - ii. Sample quiz, exams, projects;
    - iii. Peer evaluations;
  - e) Service
    - 1) List of and description of service activities.
  - f) Other items that the applicant desires to include.
- iii. Process. Upon receipt of the Promotion Materials, the RPTC will form a subcommittee consisting of the applicant's direct supervisor, a COL Renewable Term Faculty member, and two members of RPTC (the "Promotion Subcommittee"). The Promotion Subcommittee will review the applicant's Promotion Materials and evaluate the applicant's performance in the areas of teaching and service. The Promotion Subcommittee will determine whether the applicant has achieved excellence in teaching and service as defined in the Criteria and make a recommendation to the Dean regarding the applicant's promotion. The Dean will review the applicant's Promotion Materials and the recommendation of the Promotion Subcommittee. The Dean will make a recommendation to the Provost regarding the applicant's promotion. The Provost will review the Dean's recommendation and will grant or deny the promotion and notify the dean and the applicant of the decision.
- iv. Denial of Promotion. A denial of promotion to Senior Professor of Practice will not result in termination of the applicant who was denied the promotion and shall have no impact on the presumption of renewability of the applicant's Five-Year Appointment as Professor of Practice. A denial of promotion may be grieved in accordance with UNT Dallas Policy Section 6.017.
- h. Termination of Renewable Term Faculty. The appointment of renewable term faculty may be terminated at any time:
- i. For good cause as set forth in the UNTD Faculty Discipline and Termination Policy No. 6.011;
  - ii. Based on unsatisfactory performance as determined by the Dean's annual evaluations and pursuant to UNT Dallas Policy; or

- iii. Based on the termination or substantial reduction of the department or program in which the faculty member has served. In this latter instance, if the appointment is terminated, the following year shall be the faculty member’s terminal year; however, the College of Law will endeavor to afford the faculty member a similar or comparable position within the College of Law. Because the department or program was terminated or substantially reduced through no fault of the faculty member, the termination shall not have any negative or adverse inference for future hiring consideration at the College of Law or UNT Dallas.
- iv. Termination may be grieved in accordance with UNT Dallas Policy Section 6.017

**References and Cross-references.**

UNT Dallas Policy [6.001 Academic Freedom and Responsibility](#)  
 UNT Dallas Policy [6.009 Tenure and Promotion Review](#)  
 UNT Dallas College of Law Tenure Definitions and Criteria  
 UNT Dallas Policy [6.002 Faculty Appointments -- Full Time](#)  
 UNT Dallas College of Law By-Laws  
 UNT Dallas Policy 6.008 Merit Evaluation of Faculty  
 UNT Dallas Policy Section 6.017 Faculty Grievance  
 UNT System Board of Regents Rule 06.300

**Forms and Tools.**

<b>Responsible Office:</b>	Office of the Provost
<b>Responsible Officer:</b>	Dean of the College of Law
<b>Initial Approval Date:</b>	8-12-2021
<b>Current Effective Date:</b>	8-12-2021
<b>Last Revision:</b>	

<b>The University of North Texas at Dallas Policy Manual</b>	Chapter 6.000
<b>6.016 Tenured Faculty Administrators Returning to Full-Time Academic Status</b>	<b>Faculty Affairs</b>

**Policy Statement.** The University will appoint qualified individuals to serve the institution in an administrative capacity. During the term of an administrative appointment, an administrator’s salary will be commensurate with the level of responsibilities and duties. Upon return to a full-time faculty position, an administrator’s salary shall be modified in accordance with state law.

**Application of Policy.** This policy applies to members of the tenured faculty who serve in at least a 50 percent administrative appointment as defined in this policy for a period of at least one year.

**Definitions.**

1. Administrator. “Administrator” means a member of the tenured faculty who has significant administrative duties relating to the operation of UNT Dallas and shall include senior administrative officials, department chairs, and deans.
  
2. Peer Institutions. “Peer Institutions” mean institutions having a similar role and mission as set forth in the master plan for higher education prepared by the Texas Higher Education Coordinating Board or those identified by UNT Dallas in its planning documents.

**Procedures and Responsibilities.**

When an administrator concludes an administrative assignment to return to full-time faculty status, the person will not be required to return to a salary lower than his or her last salary as a full-time faculty member at UNT Dallas prior to accepting the administrative appointment plus the total amount of raises received over the period while serving as an administrator.

Except for direct reports to the President, the Provost, with the counsel of other appropriate administrators, will determine the specific salary for those administrators returning to faculty. The President is responsible for the determination of salary for any of his or her direct reports returning to faculty. Due consideration will be given to all relevant factors in connection with the administrative service including, but not limited to, the salary levels in the department to which the administrator is returning, length of service, the ability to perform as a faculty

member, the near-term changes in faculty salary structure, and the quality of service in the administrative position.

Notwithstanding the above and in accordance with Section 51.948 of the Texas Education Code, the salary of a faculty member reassigned from an administrative position to a full-time faculty position shall not exceed the salary of other persons with similar qualifications and rank performing similar duties within a division or comparable disciplines.

If, at the time the administrator returns to the faculty, UNT Dallas does not have other faculty with similar qualifications performing similar duties in the faculty member's discipline, the President may consider the salaries paid to comparable faculty within the UNT System and at peer institutions having a similar role and mission in determining the salary.

Any development or other leave granted by the University to an administrator immediately prior to his or her return to full-time faculty status shall be at the determination of the President and at the salary level as determined above and in accordance with Section 51.105 of the Texas Education Code and UNT Dallas policy.

**References and Cross-references:**

TEX. EDUC. CODE §§ 51.105, 51.908, 51.948

Regents Rule 06.500

Approved: 11/15/2010

Effective: 11/15/2010

Revised: 2/1/2013

<b>University of North Texas at Dallas Policy Manual</b>	Chapter 6.000
<b>6.017 Faculty Grievance</b>	<b>Faculty Affairs</b>

**Policy Statement:** The University of North Texas at Dallas encourages faculty members to resolve disagreements related to their employment through informal discussions at the lowest administrative level. However, if resolution does not occur, faculty members have a right to present a grievance related to a term or condition of their faculty appointment to the President or Provost as set forth in this policy.

**Application of Policy:** All faculty members.

**Definition(s).**

1. Days. “Days” means calendar days unless otherwise stated in this policy.
2. Faculty Member. “Faculty member” means a person employed full- or-part-time by the University of North Texas at Dallas, including professional librarians, lecturers, and adjuncts, whose primary duties include teaching, research, administration, or the performance of professional services. This term does not include graduate students who perform instructional duties as part of a degree requirement.
3. Grievance. “Grievance” means a formal expression of disagreement or dissatisfaction with an employment-related concern, such as working conditions, performance evaluation, workload, compensation, nonrenewal of an appointment, or interactions with an administrator with supervisory responsibility. This term does not include complaints related to discrimination or harassment prohibited under the university’s nondiscrimination policy (UNTD Policy 5.001 *Prohibiting Discrimination and Harassment*).
4. Faculty Appeals Committee (FAC). “Faculty Appeals Committee” (FAC) means the group of five active faculty members and four alternate faculty members elected by the Faculty Alliance to hear faculty grievances.
5. Grievant. “Grievant” means a faculty member who seeks to settle a disagreement or dispute with another faculty member or with an academic administrator related to a term of condition of the faculty member’s employment with the University of North Texas at Dallas.

## Procedures and Responsibilities

### **I. Grievances Relating to Working Conditions and Annual Review**

#### **A. Informal Resolution.**

1. A faculty member who is dissatisfied with an employment-related decision or with how they are being treated is encouraged to meet with the person responsible for the decision or treatment as soon as the faculty member becomes aware of the concern. A faculty member should report suspected discrimination, harassment, or wrongdoing to the appropriate university or UNT System official (e.g., Human Resources) and is not expected to report or discuss these concerns with the person who the faculty member believes is engaged in this type of conduct.
2. If a meeting does not resolve the concern, a faculty member may ask the FAC for assistance in resolving the disagreement. The request must be in writing and needs to identify the person with whom the faculty member has a disagreement, a description of the nature of the disagreement, and the resolution the faculty member is seeking. The request will be forwarded to the person(s) against whom the grievance is held, and the FAC will make every effort to mediate the disagreement within the limits of university policy and within a reasonable time (usually not to exceed 10 days).

#### **B. Formal Grievance.**

1. If efforts to informally resolve a disagreement are unsuccessful, a faculty member does not believe informal resolution is possible, or when the grievance concerns a negative personnel recommendation or decision, the faculty member may request a formal grievance by submitting a written statement to the Chair of the FAC who would then have five (5) days to forward it to the Program Coordinator, Chair, or Dean as appropriate.

The statement must identify the recommendation or decision with which the faculty member disagrees; describe the nature of the disagreement, including why the faculty member believes the recommendation or decision was incorrect; and state the resolution the faculty member is seeking. Documents the faculty member believes supports the grievance should be filed with the statement.

2. Upon receipt of grievance by the FAC, the following procedures shall apply:
  - a. The Chair of the FAC shall inquire whether the grievant has attempted to resolve the grievance through informal resolution procedures. If not, the chair may ask the grievant to do so before proceeding with the formal grievance process.
  - b. If the grievant prefers not to use the informal process or if that process has not resolved the concern, the Chair of the FAC shall convene the full committee and conduct a formal hearing.
  - c. The Chair of the FAC will notify the person against whom the faculty member made the grievance, in writing. The notice must include the grievant's statement, any documents submitted in support of the grievance, and a request for a written response to the grievance.
  - d. Upon receipt of the response, the Chair of the FAC shall forward the grievance and the response to the participants in the hearing and all members of the FAC no fewer than ten (10) calendar days before the date of the hearing.
  - e. The FAC shall provide the grievant a hearing in accordance with procedures approved by the Provost and Vice President for Academic Affairs, in consultation with the Faculty Alliance. The hearing shall not be open to the public and allow the grievant the opportunity to appear in person. At a minimum, the procedures must allow the grievant and respondent to (i) make opening and closing statements; (ii) introduce documents; (iii) call and question witnesses; and (iv) be accompanied by an advocate who may assist the individuals but who may not question witnesses or address the committee during the hearing in any manner.
  - f. After the hearing and evaluation of the evidence, the FAC shall prepare a written report no later than ten (10) days after the conclusion of the hearing. The report must include findings and a recommendation whether the relief requested by the grievant should be granted, and then it must be sent to the appropriate academic administrator and the participants.
  - g. The administrator or Provost may accept or reject the findings and recommendations in whole or in part. The administrator shall notify



the FAC and the participants if the committee's report is rejected or modified, and may meet with the FAC to discuss the report.

## **II. Grievances Relating to Reappointment, Tenure or Promotion, and Termination**

- A. Upon notification by the Dean (of a negative decision concerning the reappointment or termination of a non-tenure-track faculty member) or by the Provost (of negative recommendation concerning reappointment, tenure, promotion, or termination of a tenure-track faculty member), the faculty member may ask the administrator to reconsider the recommendation or decision no later than fifteen (15) days after receiving written notice via email or on university letterhead. The request should be in writing and explain why the faculty member believes the recommendation or decision was incorrect.
- B. If the negative recommendation or decision is not changed, a faculty member may appeal the decision to the Provost or President, as applicable.
- C. The appeal must be in writing and submitted within ten (10) days after notice of the recommendation and explain the reason(s) the faculty member disagrees with the recommendation, including why the faculty member believes the recommendation is incorrect. Documents the faculty member believes support the appeal should be filed along with the appeal.
- D. The administrator who receives the appeal will forward it to the Chair of the FAC no later than five (5) days after the receipt and notify the faculty member of this action in writing.
- E. Once an appeal has been filed and upon written request, the faculty member will be given access to or a copy of all documents that have a bearing on the personnel action at no charge to the faculty member and in no fewer than five (5) days after the request.
- F. The FAC will provide the faculty member a hearing. The hearing and committee report usually will be completed within thirty (30) calendar days after the appeal is received by the committee. The hearing will be conducted in accordance with the grievance procedures approved by the Provost. A verbatim record of the hearing will be made, a copy of which will be provided to the faculty member at no cost.
- G. After the conclusion of the hearing and evaluation of the evidence, the FAC shall prepare a written report no later than seven (7) days after conclusion of the

hearing. The report must include detailed findings for each of the reasons presented for the appeal, a recommendation whether the appeal should be granted or denied, and any minority finding(s) and recommendation(s). The Chair of the FAC shall deliver the report to the Provost or President, as appropriate, and the faculty member.

- H. The Provost or President, as applicable, will consider the FAC's report and may review evidence presented during the hearing, the hearing transcript, and the faculty member's employment history at UNT Dallas in making a decision. Usually, a decision should be made within ten (10) days after receipt of the FAC report.
- I. The Provost or President, as applicable, may accept or reject the FAC's findings and recommendations in whole or in part. The administrator shall notify the FAC and faculty member if the committee's report is rejected or modified and explain the reason for the decision, in writing. The administrator may meet with the FAC to discuss the report.
- J. The Provost or President, as applicable, must notify the faculty member of the decision and the reason for the decision in writing, with a copy to the FAC and the Provost. Except for recommendations related to tenure, which must be submitted to the Board of Regents, the decision of the Provost relating to non-tenure-track faculty member and of the President relating to tenure-track faculty is final.

### **III. Composition of the Faculty Appeals Committee**

- A. The Faculty Appeals Committee (FAC) shall consist of five active full-time faculty members and four alternate full-time faculty members elected by the Faculty Alliance. Each member shall be elected for a three-year term. Upon formation of the FAC, five active members will be elected. Three members shall be elected for a three-year term and two members shall be elected for a two-year term. Four alternate members shall be elected for a three-year term. Following initial formation of the FAC, all members shall be elected to a three-year term thereafter. The committee shall elect a chair at the beginning of each academic year.
- B. Any member of the FAC who is involved in the substance of a grievance or appeal shall be disqualified from serving on the committee considering the matter in which the member is involved. This includes, but is not limited to, instances where a committee member is the subject of a pending grievance or

had any involvement in a personnel action related to the faculty member who is the subject of the grievance or appeal. Any question of disqualification shall be resolved by a majority vote of the committee members voting.

- C. After resolution of any questions of disqualification, four alternate members from the remaining members shall be selected by lot to consider the subject grievance or appeal. The Faculty Alliance shall select alternate members to consider the grievance or appeal if more than four members of the FAC are disqualified from the hearing (or disqualified because of an official leave) and are thus unable to participate in it. The alternate members shall be selected by lot from eligible members of the Faculty Alliance and are subject to the same grounds for disqualification as permanent FAC members.
- D. The individual decisions of the Faculty Appeal Committee (FAC) members will remain confidential to the extent allowed by law.

### **References and Cross-references**

Alternative Dispute Resolution Procedures

Tex. Education Code, section 51.942

Tex. Education Code, section 51.960

Tex. Government Code, section 617.005

Regents Rule 06.1200 (Termination and Revocation of Tenure)

UNT Dallas Policy 5.001 (Prohibiting Discrimination and Harassment)

UNT Dallas Policy 5.001a (Discrimination and Harassment Complaint Procedures)

Approved: 8/25/2010

Effective: 8/25/2010

Revised: 2/1/2013; 5/18/2018

<b>Policies of the University of North Texas at Dallas</b>	Chapter 06
<b>06.024 Review of Tenured Faculty</b>	<b>Faculty Affairs</b>

**Policy Statement.** An academic institution’s strength lies in its faculty. The University of North Texas at Dallas (UNT Dallas or UNTD) expects faculty to provide high quality contributions to the mission of the University, and will conduct comprehensive, encompassing holistic reviews of the three domains of teaching and student success; research, scholarly and creative activities; and service and public engagement; as well as administration, after faculty have earned tenure.

**Application of Policy.** Tenured faculty.

**Definitions.**

1. Administration. “Administration” means any assignment other than teaching, research/scholarly or creative activities, and service and public engagement that entails duties relating to the operation of a program, institute, center, or like assignment whether the assignment qualifies as set out in section 51.948 of the Texas Education Code.
2. Professional Development Plan. “Professional development plan” (PDP) means an agreement indicating how specific deficiencies in a faculty member’s performance will be remedied. The generation of the plan is a collaborative effort between a Faculty Professional Development Committee (FPDC) and a faculty member. PDPs are approved by the unit administrator, dean, and provost prior to implementation.
3. Unit. “Unit” means an academic program, department or division under the administration of a UNT Dallas official with responsibilities for personnel actions related to the unit.
4. Unit Administrator. “Unit administrator” means a UNT Dallas official with tenure and responsibilities for the management and supervision of a unit.
5. Faculty Professional Development Committee. “Faculty Professional Development Committee” (FPDC) means a group of tenured faculty members comprised of individuals who do not hold an administrative assignment in the faculty member’s college/school.
6. Unsatisfactory Performance. “Unsatisfactory performance” means the failure to sustain contributions in the domains of teaching and student success, research/scholarly or creative activities, and service and public engagement; continued or repeated substantial neglect of professional responsibilities; or incompetence or refusal to carry out duties that are part of the assigned workload. Examples of unsatisfactory performance include, but are not limited to, failure to

meet classes, refusal to teach classes within one's area of expertise, or failure or refusal to participate in scholarly activities, service, or administrative activities when these responsibilities are part of the assigned workload. Refusal or inability to follow reasonable guidance or other university policies intended to correct unsatisfactory performance also may be considered when determining whether a faculty member will be placed on a Performance Development Plan (PDP).

### **Procedures and Responsibilities.**

A comprehensive review shall be conducted at least every five (5) years after a faculty member is granted tenure or receives an academic promotion. The review ~~of tenured faculty~~ is designed to support faculty professional development and sustained, holistic effectiveness in the domains after tenure is awarded, as required by section 51.942 of the Texas Education Code. ~~It is also designed to support the University in ensuring its faculty are meeting the requirements of evaluation. A review is required by Texas Education Code 51.942. In addition, r~~Reviews occurring after tenure is awarded must always protect academic freedom as outlined in UNTD Policy 06.001, *Academic Freedom and Responsibility*.

#### I. General Guidelines.

- A. Faculty members are expected to earn evaluations of at least sustained contributions in the domains of teaching and student success, research/scholarly or creative activities, ~~and~~ service and public engagement, and administration, when applicable, after being awarded tenure.
- B. The review is performed at a minimum of every five (5) years; however, the Unit Administrator may initiate a review after two consecutive years of unsatisfactory annual evaluations and must initiate a review after three consecutive years of unsatisfactory annual evaluations.
- C. A comprehensive review that determines a faculty member ~~who is determined to be~~ performing unsatisfactory in a single domain shall result in the faculty member being ~~be~~ referred to the Faculty Performance Development Committee (FPDC). The FPDC will have 30 days upon notification of the unsatisfactory review to evaluate whether the faculty member is performing unsatisfactory in the domain(s). A faculty member who the FPDC determines is performing ~~receives a review of~~ unsatisfactorily in a domain shall be placed on a Professional Development Plan (PDP) created by the FPDC. Upon determination of unsatisfactory performance, the FPDC will have 30 days to create and disseminate the PDP to the faculty member, Unit Administrator, Dean and Provost.
- D. Numerical scores and rankings within a unit during an annual performance evaluation are not necessarily indicative of unsatisfactory performance. Failure to publish or secure external funding in a given year does not in itself imply unsatisfactory performance in scholarship. Negative teaching evaluations in themselves do not imply unsatisfactory performance in teaching.

#### II. Unit Criteria.

- A. The tenured faculty of each unit, in collaboration with the Dean, is responsible for developing written workload-based performance criteria for the review of tenured faculty, and for reviewing the criteria no fewer than every five (5) years. Each department-level unit's criteria must be consistent with those of the college/school and University policy.
- B. The Dean and Provost must approve all unit criteria and ensure the criteria are sufficiently flexible to allow for differences in academic disciplines.
- C. The Dean will provide the approved criteria to each tenured faculty member.
- D. The Unit Administrator is responsible for ensuring review criteria are followed.

Responsible Party: Faculty, Unit Administrator, Dean, Provost, Faculty Performance Development Committee

### III. Guidelines for Performance Development.

A faculty member who receives an unsatisfactory review by the FPDC shall be placed on a Professional Development Plan (PDP). The faculty member will be required to meet with the unit administrator to identify barriers to sustained effectiveness and outline steps to remedy the deficiencies before the member is placed on a PDP.

- A. The PDP is initiated with the appointment of a Faculty Performance Development Committee ("Committee") consisting of tenured faculty only. The Committee shall be comprised of a five (5) tenured faculty members. One (1) member selected by the faculty member under review, from within the UNT System, one (1) appointed by the Dean of the faculty member's college/school in consultation with the unit administrator; two (2) members appointed by Faculty ~~Senate Alliance with advisement from an open forum~~; and one (1) member appointed by the Provost from outside the faculty member's college/school. The Provost may appoint members to serve on the Committee if the faculty member under review or Dean fail to identify a member in a timely manner or if any of the selected members must be removed.
- B. The Committee, in consultation with the faculty member, will develop a written, individualized, and clear PDP that is intended to facilitate professional development and remedy all deficiencies noted in the review. The PDP will:
  1. Identify specific deficiency(ies) to be addressed;
  2. Identify factors that impeded or may have impeded the ability or opportunity to sustain holistic effectiveness in the area or areas evaluated as unsatisfactory;
  3. Identify institutional resources available to address the identified deficiency(ies);
  4. Identify specific goals or outcomes intended to demonstrate that the noted deficiency(ies) have been corrected;

5. Describe the activities to be undertaken to achieve agreed-upon outcomes;
  6. Articulate the criteria for assessing progress toward the agreed-upon goals or outcomes;
  7. Identify metrics to assess progress; and
  8. Establish timelines and milestones for evaluating progress.
- C. The PDP must be signed by the unit administrator, Dean, and Provost, and communicated to the faculty member in writing prior to its implementation. The Committee will monitor the faculty member's progress, provide mentorship as needed, and submit an annual report to the unit administrator with a copy to the faculty member.

Responsible Party: Unit Administrator, Dean, Provost, Faculty Performance Development Committee

IV. Removal from the PDP.

A faculty member may be on a PDP for no more than two (2) academic years. At the end of each year, the Committee will determine whether the faculty has achieved the outcomes identified in the plan.

- A. If the FPDC determines the faculty member has successfully completed the PDP, it shall submit a report to the unit administrator, Dean, and the Provost recommending the faculty member be removed from the plan.

Responsible Party: Unit Administrator, Dean, Provost, Faculty Performance Development Committee

V. Failure to Complete the PDP. ~~A faculty member who fails to complete a PDP satisfactorily is subject to revocation of tenure and termination of employment, or other appropriate disciplinary action. A faculty member may be on a PDP for no more than two (2) academic years. At the end of each year, the FPDC Committee will determine whether the faculty has achieved the outcomes identified in the plan.~~

- A. If the Committee determines the agreed upon outcomes have not been achieved, the Committee will submit a written report of the deficiencies to the faculty member by the end of the first year. The Committee will also provide the report to the Unit Administrator, Dean, and Provost.
- B. If the Committee determines that the agreed upon outcomes have not been achieved at the end of the second year, it will submit a written report to the

Unit Administrator identifying the reason(s) for its determination.

- C. Upon receipt of the report from the Committee, the unit administrator may request additional information or clarification from the Committee and, once satisfied with the completeness of the report, the unit administrator will provide the final report to the Dean with a copy to the faculty member.
- D. Based on the final report, the Dean will provide a recommendation to the Provost on whether the faculty member's tenure should be revoked and employment terminated, or other appropriate disciplinary action taken.
- E. Upon receipt of the final report and recommendation, the Provost will determine whether to recommend the revocation of tenure and termination of employment or other appropriate disciplinary action, taking into account the faculty member's record and all annual performance reviews.

Responsible Party: Unit Administrator, Dean, Provost, Faculty  
Performance Development Committee

#### VI. Grievance.

- A. A faculty member who disputes the Committee's final report or the Provost's recommendation to revoke tenure and terminate employment or other disciplinary action, may submit a grievance in accordance with UNT Dallas Policy 6.017, *Faculty Grievance*. The grievance may be based on any reason related to the faculty member's review-evaluation, including but not limited to fairness, substantive or procedural grounds, academic freedom, and academic responsibility.
- ~~B. A faculty member who is the subject of a recommendation by the Provost to revoke tenure and terminate employment on the basis of an evaluation conducted under this policy shall be given the opportunity to participate in mediation before initiation of the grievance process as required by Regents Rule 06.1100 and section 51.942 of the Texas Education Code.~~

Responsible Party: Faculty Member

#### References and Cross-references.

- Texas Education Code 51.948, Restrictions on Contracts with Administrators
- Texas Education Code, 51.942, Faculty Tenure~~Post Tenure Review~~
- UNTD Policy 06.001, Academic Freedom and Academic Responsibility
- UNTD Policy 06.002, Academic Appointments and Titles
- UNTD Policy 06.007, Academic Workload
- UNTD Policy 6.017, Faculty Grievance
- UNT Regents Rule 06.902, Faculty Research and Creative Activity



- UNT Regents Rule 06.~~1101~~1100, Evaluation of Tenured and Non-tenured Faculty

**Approved:** 5/15/2020

**Effective:** 06/01/2020

**Revised:** 10/27/2023

<b>Policies of the University of North Texas at Dallas</b>	Chapter 06
<b>06.024 Review of Tenured Faculty</b>	<b>Faculty Affairs</b>

**Policy Statement.** An academic institution’s strength lies in its faculty. The University of North Texas at Dallas (UNT Dallas or UNTD) expects faculty to provide high quality contributions to the mission of the University, and will conduct comprehensive, holistic reviews of the three domains of teaching and student success; research, scholarly and creative activities; and service and public engagement; as well as administration, after faculty have earned tenure.

**Application of Policy.** Tenured faculty.

**Definitions.**

1. **Administration.** “Administration” means any assignment other than teaching, research/scholarly or creative activities, and service and public engagement that entails duties relating to the operation of a program, institute, center, or like assignment whether the assignment qualifies as set out in section 51.948 of the Texas Education Code.
2. **Professional Development Plan.** “Professional development plan” (PDP) means an agreement indicating how specific deficiencies in a faculty member’s performance will be remedied. The generation of the plan is a collaborative effort between a Faculty Professional Development Committee (FPDC) and a faculty member. PDPs are approved by the unit administrator, dean, and provost prior to implementation.
3. **Unit.** “Unit” means an academic program, department or division under the administration of a UNT Dallas official with responsibilities for personnel actions related to the unit.
4. **Unit Administrator.** “Unit administrator” means a UNT Dallas official with tenure and responsibilities for the management and supervision of a unit.
5. **Faculty Professional Development Committee.** “Faculty Professional Development Committee” (FPDC) means a group of tenured faculty members comprised of individuals who do not hold an administrative assignment in the faculty member’s college/school.
6. **Unsatisfactory Performance.** “Unsatisfactory performance” means the failure to sustain contributions in the domains of teaching and student success, research/scholarly or creative activities, and service and public engagement; continued or repeated substantial neglect of professional responsibilities; or incompetence or refusal to carry out duties that are part of the assigned workload. Examples of unsatisfactory performance include, but are not limited to, failure to

meet classes, refusal to teach classes within one's area of expertise, or failure or refusal to participate in scholarly activities, service, or administrative activities when these responsibilities are part of the assigned workload. Refusal or inability to follow reasonable guidance or other university policies intended to correct unsatisfactory performance also may be considered when determining whether a faculty member will be placed on a Performance Development Plan (PDP).

### **Procedures and Responsibilities.**

A comprehensive review shall be conducted at least every five (5) years after a faculty member is granted tenure or receives an academic promotion. The review is designed to support faculty professional development and sustained, holistic effectiveness in the domains after tenure is awarded, as required by section 51.942 of the Texas Education Code. Reviews occurring after tenure is awarded must always protect academic freedom as outlined in UNTD Policy 06.001, *Academic Freedom and Responsibility*.

#### **I. General Guidelines.**

- A. Faculty members are expected to earn evaluations of at least sustained contributions in the domains of teaching and student success, research/scholarly or creative activities, service and public engagement, and administration, when applicable, after being awarded tenure.
- B. The review is performed at a minimum of every five (5) years; however, the Unit Administrator may initiate a review after two consecutive years of unsatisfactory annual evaluations and must initiate a review after three consecutive years of unsatisfactory annual evaluations.
- C. A comprehensive review that determines a faculty member is performing unsatisfactory in a single domain shall result in the faculty member being referred to the Faculty Performance Development Committee (FPDC). The FPDC will have 30 days upon notification of the unsatisfactory review to evaluate whether the faculty member is performing unsatisfactory in the domain(s). A faculty member who the FPDC determines is performing unsatisfactorily in a domain shall be placed on a Professional Development Plan (PDP) created by the FPDC. Upon determination of unsatisfactory performance, the FPDC will have 30 days to create and disseminate the PDP to the faculty member, Unit Administrator, Dean and Provost.
- D. Numerical scores and rankings within a unit during an annual performance evaluation are not necessarily indicative of unsatisfactory performance. Failure to publish or secure external funding in a given year does not in itself imply unsatisfactory performance in scholarship. Negative teaching evaluations in themselves do not imply unsatisfactory performance in teaching.

#### **II. Unit Criteria.**

- A. The tenured faculty of each unit, in collaboration with the Dean, is responsible for developing written workload-based performance criteria for the review of tenured

faculty, and for reviewing the criteria no fewer than every five (5) years. Each department-level unit's criteria must be consistent with those of the college/school and University policy.

- B. The Dean and Provost must approve all unit criteria and ensure the criteria are sufficiently flexible to allow for differences in academic disciplines.
- C. The Dean will provide the approved criteria to each tenured faculty member.
- D. The Unit Administrator is responsible for ensuring review criteria are followed.

Responsible Party: Faculty, Unit Administrator, Dean, Provost, Faculty Performance Development Committee

### III. Guidelines for Performance Development.

A faculty member who receives an unsatisfactory review by the FPDC shall be placed on a Professional Development Plan (PDP). The faculty member will be required to meet with the unit administrator to identify barriers to sustained effectiveness and outline steps to remedy the deficiencies before the member is placed on a PDP.

- A. The PDP is initiated with the appointment of a Faculty Performance Development Committee ("Committee") consisting of tenured faculty only. The Committee shall be comprised of a five (5) tenured faculty members. One (1) member selected by the faculty member under review, from within the UNT System, one (1) appointed by the Dean of the faculty member's college/school in consultation with the unit administrator; two (2) members appointed by Faculty Senate; and one (1) member appointed by the Provost from outside the faculty member's college/school. The Provost may appoint members to serve on the Committee if the faculty member under review or Dean fail to identify a member in a timely manner or if any of the selected members must be removed.
- B. The Committee, in consultation with the faculty member, will develop a written, individualized, and clear PDP that is intended to facilitate professional development and remedy all deficiencies noted in the review. The PDP will:
  - 1. Identify specific deficiency(ies) to be addressed;
  - 2. Identify factors that impeded or may have impeded the ability or opportunity to sustain holistic effectiveness in the area or areas evaluated as unsatisfactory;
  - 3. Identify institutional resources available to address the identified deficiency(ies);
  - 4. Identify specific goals or outcomes intended to demonstrate that the noted deficiency(ies) have been corrected;
  - 5. Describe the activities to be undertaken to achieve agreed-upon outcomes;

6. Articulate the criteria for assessing progress toward the agreed-upon goals or outcomes;
  7. Identify metrics to assess progress; and
  8. Establish timelines and milestones for evaluating progress.
- C. The PDP must be signed by the unit administrator, Dean, and Provost, and communicated to the faculty member in writing prior to its implementation. The Committee will monitor the faculty member's progress, provide mentorship as needed, and submit an annual report to the unit administrator with a copy to the faculty member.

Responsible Party: Unit Administrator, Dean, Provost, Faculty Performance Development Committee

IV. Removal from the PDP.

A faculty member may be on a PDP for no more than two (2) academic years. At the end of each year, the Committee will determine whether the faculty has achieved the outcomes identified in the plan.

- A. If the FPDC determines the faculty member has successfully completed the PDP, it shall submit a report to the unit administrator, Dean, and the Provost recommending the faculty member be removed from the plan.

Responsible Party: Unit Administrator, Dean, Provost, Faculty Performance Development Committee

V. Failure to Complete the PDP.

A faculty member who fails to complete a PDP satisfactorily is subject to revocation of tenure and termination of employment, or other appropriate disciplinary action.

- A. If the Committee determines the agreed upon outcomes have not been achieved, the Committee will submit a written report of the deficiencies to the faculty member by the end of the first year. The Committee will also provide the report to the Unit Administrator, Dean, and Provost.
- B. If the Committee determines that the agreed upon outcomes have not been achieved at the end of the second year, it will submit a written report to the Unit Administrator identifying the reason(s) for its determination.
- C. Upon receipt of the report from the Committee, the unit administrator may request additional information or clarification from the Committee and, once

satisfied with the completeness of the report, the unit administrator will provide the final report to the Dean with a copy to the faculty member.

- D. Based on the final report, the Dean will provide a recommendation to the Provost on whether the faculty member's tenure should be revoked and employment terminated, or other appropriate disciplinary action taken.
- E. Upon receipt of the final report and recommendation, the Provost will determine whether to recommend the revocation of tenure and termination of employment or other appropriate disciplinary action, taking into account the faculty member's record and all annual performance reviews.

Responsible Party: Unit Administrator, Dean, Provost, Faculty  
Performance Development Committee

VI. Grievance.

- A. A faculty member who disputes the Committee's final report or the Provost's recommendation to revoke tenure and terminate employment or other disciplinary action, may submit a grievance in accordance with UNT Dallas Policy 6.017, *Faculty Grievance*. The grievance may be based on any reason related to the faculty member's review, including but not limited to fairness, substantive or procedural grounds, academic freedom, and academic responsibility.

Responsible Party: Faculty Member

**References and Cross-references.**

- Texas Education Code 51.948, Restrictions on Contracts with Administrators
- Texas Education Code, 51.942, Faculty Tenure
- UNTD Policy 06.001, Academic Freedom and Academic Responsibility
- UNTD Policy 06.002, Academic Appointments and Titles
- UNTD Policy 06.007, Academic Workload
- UNTD Policy 6.017, Faculty Grievance
- UNT Regents Rule 06.902, Faculty Research and Creative Activity
- UNT Regents Rule 06.1100, Evaluation of Tenured and Non-tenured Faculty

**Approved:** 5/15/2020

**Effective:** 06/01/2020

**Revised:** 10/27/2023



# **HSC Faculty Promotion & Tenure Policies, Procedures & Guidelines**

## **TABLE OF CONTENTS**

### **Section 1: HSC Faculty Policies**


- 6.103 Evaluation of Tenured Faculty
- 6.105 Faculty Discipline and Termination
- 6.107 Faculty Tenure and Promotion

### **Section 2: Guidelines for Promotion & Tenure**

- Texas College of Osteopathic Medicine P&T Guidelines
- School of Biomedical Sciences P&T Guidelines
- School of Public Health P&T Guidelines
- School of Health Professions P&T Guidelines
- UNT System College of Pharmacy P&T Guidelines
- College of Nursing P&T Guidelines

### **Section 3: Promotion & Tenure Rubrics**

- Faculty Teaching Rubric
- Faculty Research Rubric
- Faculty Service Rubric
- Faculty Tenure Rubric

 <p>Policies of the University of North Texas Health Science Center at Fort Worth</p>	<p><b>Chapter 6</b> <b>Academic and Faculty Affairs</b></p>
<p><b>6.103 Evaluation of Tenured Faculty</b></p>	

**Policy Statement and Purpose.**

The University of North Texas Health Science Center (UNTHSC) is committed to the consistent and comprehensive review of tenured faculty members in the areas of teaching, research, patient care, and service. The performance evaluation of tenured faculty is intended to promote continued academic professional development and peer- coordinated professional improvement to meet or exceed performance norms.

**Application of Policy.**

Tenured faculty

**Definitions.**

1. Tenured Faculty. “Tenured Faculty” refers to faculty who have been conferred tenure by the UNT System Board of Regents. “Tenured Faculty” does not include faculty with administrative duties of 0.5 full-time equivalent (FTE) or above.
2. Deficient Performance. Deficient performance means performance that has fallen below the acceptable “outstanding” and “quality” standards of performance within assigned areas of teaching, research, patient care, and service over a period of time.
3. Tenure. “Tenure” means the entitlement of a faculty member to continue in the faculty member’s academic position unless dismissed by the institution for good cause as set forth in the policies and procedures of the institution.

**Policy and Responsibilities.**

1. General Guidelines
  - a. Tenured faculty are expected to perform proficiently in teaching; research; patient care; administration and/or service throughout their career.
  - b. Modifications to work assignments may be expected as a career changes. A decrease in expectation in one category should be matched by a concomitant increase in load expectations in another category. However, volume of work does not equate to quality performance.
  - c. A tenured faculty member will be provided notice of the timing and scope of the evaluation, and the opportunity to provide documentation during the evaluation



process. Additionally, before a faculty member may be subject to termination based on a deficient evaluation, a written notice of deficiencies will be provided and an opportunity for appeal.

- d. A faculty member may be subject to revocation of tenure or other appropriate disciplinary action if incompetency, neglect of duty, or other good cause is determined to be present.

## 2. Annual Evaluations

- a. The Office of Faculty Affairs will annually set the cycle and process for performance evaluations. Each department or college will have established criteria for evaluating tenured faculty performance in an annual review. These criteria are published and made available on the Faculty Affairs website.
- b. Rating categories for annual evaluations will be utilized to provide feedback to faculty. The rating categories for faculty performance will be outstanding, quality, or deficient in accordance with college standards.
- c. Faculty performance that is outstanding in two of the general areas of teaching, research, and service (including patient care), and quality rating in a third area will be noted as proficient in the evaluation. The evaluation will state the basis for the rating in accordance with the criteria. Faculty evaluations that are deemed deficient in one or more areas will be reported to the dean.
- d. Annual evaluations rated as deficient in one or more areas will require either a “Periodic Peer Review” or “Professional Improvement Review” at the discretion of the dean.

Responsible Party: Dean, Department Chair, and tenured faculty member.

## 3. Periodic Peer Review (aka Post Tenure Review)

UNT System Regent Rule 06.1100 requires that tenured faculty receive a comprehensive performance evaluation (aka post tenure review) conducted no more often than once a year, but no less often than once every six years, after the date the faculty member was granted tenure or received an academic promotion at the institution.

- a. The purpose of the Periodic Peer Review is to:
  - i. Assess whether the individual is making a contribution consistent with that expected of a tenured faculty member;
  - ii. Provide guidance for continuing and meaningful faculty development;

- iii. Assist faculty to enhance professional skills and goals; and
  - iv. Refocus academic and professional efforts, when appropriate.
- b. At the discretion of the Dean, a periodic peer review may be required following a deficient annual evaluation. The faculty member in conjunction with the department chair, will be requested to submit materials to the chairperson of the appropriate Promotion and Tenure Committee.
- c. The periodic peer review shall include, at minimum the following provisions:
- i. Six months prior to September 1, Faculty Affairs determines who will need Periodic Peer Review starting September 1 and will alert the appropriate dean. The Dean will then notify the appropriate faculty member with a Periodic Peer Review Memo copying the P&T Committee Chair, the department chair and Faculty Affairs. A periodic review for tenured faculty receiving a deficient annual performance rating may occur off cycle from the routinely scheduled reviews.
  - ii. Review packets will be prepared by the faculty member to be reviewed and delivered to the appropriate department chair. Refer to the Office of Faculty Affairs' Periodic Peer Review Packet Checklist for guidance in organizing the review packet.  
<https://www.unthsc.edu/academic-affairs/faculty-affairs/post-tenure-review/>
  - iii. The department chair will review the packet and either forward to the department P&T Committee or, if there is not a department P&T Committee, to Faculty Affairs for review. The department P&T committee reviews the material and presents the recommendation, both orally and in writing, to the department chair.
  - iv. The faculty member will receive written notice within 15 business days of the recommendation by the Chair of the P&T Committee. The Office of Faculty Affairs will be copied on the correspondence sent to the faculty member.
  - v. The Chair of the appropriate school/college P&T committee will present the committee's recommendation, orally and in writing, to the Dean.
  - vi. The appropriate dean will forward their written evaluation to the faculty member, the department chair, school/college P&T committee and the Office of Faculty Affairs within 15 business days of receiving the P&T committee recommendation.
  - vii. If a deficiency is identified through the Periodic Peer review process, the faculty member will be offered a Professional Improvement Plan
  - viii. Failure to successfully complete a performance improvement plan constitutes adequate cause for dismissal in accordance with Regents Rule 06.1206.
- d. The college promotion and tenure committee will meet to review all documentation and make a recommendation to the Dean including a rating on faculty member's performance. The promotion and tenure committee will provide a rating of performance in teaching, research, administration and service and state the basis of that finding in accordance with the criteria described in the college guidelines. A rating of "deficient" in one or more categories of performance will require the development of a Performance Improvement Plan.
- e. For tenured faculty with budgeted appointments in more than one department, Periodic Peer Review will be conducted as per the post-tenure review guidelines of the department where the faculty holds the majority of the appointment unless the faculty members request to be reviewed by both departments. If reviewed only by the primary department, the department chair will share the report with the department chair of the secondary department.

Responsible Party: Dean, Department Chair, and tenured faculty member

#### 4. Professional Improvement Review

- a. At the discretion of the Dean, a professional improvement review may be required following a deficient annual evaluation.
- b. The Dean will inform the department chair of the decision within five (5) working days. The department chair will immediately inform the faculty member that they are subject to a Professional Improvement Review, and of the nature and procedures of the review.
- c. A faculty member can be exempted from review upon recommendation of the department chair and approval of the dean when substantive mitigating, circumstances (e.g. serious illness) exist.
- d. The purposes of Professional Improvement Review are to identify and officially acknowledge substantial or chronic deficits in performance; develop a specific professional improvement plan (PIP) by which to remedy deficiencies; and monitor progress toward achievement of the PIP.
- e. The review will be conducted by an ad hoc review committee (hereafter referred to as the review committee), unless the faculty member requests that it be conducted by the department chair. The three-member ad hoc faculty review committee will be appointed by the dean, in consultation with the department chair and faculty member to be reviewed. When appropriate, the committee membership may include faculty from other departments, colleges, or universities.
- f. If the faculty member wishes to contest the composition of the Professional Improvement Review committee due to specific conflict of interest with one or more of the proposed committee members, an appeal may be made to the Provost. After consultation with the faculty member, department chair, and the dean, the decision of the Provost on the committee composition is final.
- g. The faculty member to be reviewed will be given the opportunity to submit additional materials they deem relevant and necessary for the review within fifteen (15) working days of notification. All materials submitted by the faculty member are to be included in the dossier. Although review dossiers will differ, the dossier will include at minimum the most recent annual evaluation, current curriculum vitae, and a statement of teaching and research.
- h. The department chair may add to the dossier any further materials they deem necessary or relevant to the review of the faculty member's academic performance. The faculty member has the right to review and respond in writing to any materials added by the department chair and the written response will be included in the dossier. In addition, the faculty member has the right to add any materials at any time during the review process.
- i. The Professional Improvement Review will be made in a timely fashion (normally within 30 working days after submission of the dossier). The Professional Improvement Review will result in one of two possible outcomes:
  - i. No deficiencies are identified. The faculty member, department chair, and dean are so informed in writing, and the outcome of the prior annual review is superseded by the ad hoc committee report.
  - ii. When deficiencies are confirmed, the review committee will elaborate in writing and provide a copy to the faculty member, department chair, and dean. In the case that deficiencies are confirmed and accepted by the dean, the faculty member, review committee, and department chair shall then work together to create a PIP for submission to the dean for approval.

5. The Professional Improvement Plan (PIP)

- a. The Professional Improvement Plan shall set forth how specific deficiencies in a faculty member's performance (as measured against stated collegiate criteria) will be remedied. A refusal by a faculty member to participate in good faith with the completion of the PIP will constitute good cause for dismissal and dismissal proceedings may be initiated under applicable policies governing revocation of tenure.
- b. Although each PIP is tailored to individual circumstances, the plan will:
  - i. Identify specific deficiencies to be addressed;
  - ii. Define specific goals or outcomes necessary to remedy the deficiencies;
  - iii. Outline the activities to be undertaken to achieve the necessary outcomes;
  - iv. Set time lines for accomplishing the activities and achieving intermediate and ultimate outcomes;
  - v. Identify institutional resources to be committed in support of the plan.
- c. The faculty member and department chair will meet to set a schedule to review progress and include those dates in the PIP. The associated timeline for successful completion of a PIP will be customized to the situation, and normally range between 6 months to 12 months in length.
- d. The department chair will forward a progress report to the dean at intervals defined within the PIP.

6. Completion of the PIP

- a. The department chair shall make a final report to the faculty member and dean regarding whether the objectives of the PIP have been met, or the agreed timeline exceeded, or in any case, no later than twelve (12) months after the start of the PIP. The successful completion of the PIP is the positive outcome to which all faculty and administrators involved in the process must be committed.
- b. The dean will determine whether the faculty member has failed to satisfactorily meet the goals of the PIP and that good cause for dismissal under applicable tenure policies exist. The dean will recommend to the Provost that revocation of tenure and termination be initiated. The Provost will review and provide a recommendation to the President. The President will make a final decision and provide notice to the faculty member along with a recommendation to the Board of Regents.

Responsible Party: Provost, Dean, Department Chair, and tenured faculty member

7. Appeal

- a. If a faculty member chooses to challenge the Dean's determination regarding successful completion of the PIP, an appeal may be submitted to the Faculty Grievance and Appeal Committee. A faculty member subject to termination based on an overall funding of deficient performance on a PIP will be given the opportunity for referral of the matter to a nonbinding alternative dispute resolution as described in Chapter 154 of the Texas Civil Practice &

Remedies Code. If both parties agree, another type of alternative dispute resolution method may be elected.

Responsible Party: Provost, Dean, Department Chair, and tenured faculty members

**Reference.**

**Applicable Laws, Rules and Regulations:**

Texas Education Code 51.948, Restrictions on Contracts with Administrators Texas Education Code, 51.942, Performance Evaluation of Tenured Faculty

**Related Policies and Procedures:**

UNT Regents Rule 06.1101, Evaluation of Tenured Faculty

**Reviewed by Office of the General Counsel:** April 17, 2019

**Approved:** May 23, 2019


**Effective:** June 1, 2019

**Revised:** August 28, 2023

**Next review due on or before:** December, 2025

**Policy Owner:** Provost and Executive Vice President

**Subject Matter Specialist:** Provost and Executive Vice President

 <p>Policies of the University of North Texas Health Science Center at Fort Worth</p>	<p><b>Chapter 6</b> <b>Academic and Faculty Affairs</b></p>
<p><b>6.105 Faculty Discipline and Termination</b></p>	

**Policy Statement and Purpose.**

The University of North Texas Health Science Center (HSC) faculty policies are in alignment with our code of culture that sets expected behaviors based on values. A faculty member’s failure to meet responsibilities impacts the university’s ability to carry out its mission. Faculty members who are unable to effectively perform their duties in teaching, research, and service may need corrective actions. This policy outlines the standards and procedures related to faculty discipline and termination.

**Application of Policy.**

All UNTHSC faculty

**Definitions.**

1. Adequate Cause. “Adequate Cause” (also referred to as Good Cause) for discipline and/or termination of faculty members includes, but will not be limited to, the following:
  - a. Professional incompetence (some examples include but are not limited to lack of knowledge or ability to impart knowledge; physical mistreatment of students; serious lack of cooperation required to effectively teach; inability to conduct research);
  - b. Continuing or repeated failure to perform duties or meet the responsibilities of the faculty member’s position;
  - c. Failure to successfully complete a faculty professional improvement plan as described in the Evaluation of Tenured Faculty policy;
  - d. Violation of UNT system board of regent rules, university policies, state or federal laws substantially related to performance of faculty duties;
  - e. Conviction of a crime substantially related to the duties and responsibilities associated with teaching, research, outreach and administration, and service or failure to disclose or misrepresentation of criminal history background information;
  - f. Unprofessional conduct adversely affecting the faculty member’s performance of duties or the meeting of responsibilities to the UNT system, university, or to students or associates of the university;
  - g. Falsification of academic credentials;
  - h. Action(s) that impair or prevent other members of the university community from fulfilling their responsibilities or that create a clear and present danger to members of the university community;

- i. Moral turpitude adversely affecting the performance of duties or the meeting of responsibilities to the academic institution, or to student or associates
2. Progressive Discipline. “Progressive Discipline” means the process of imposing corrective actions in a gradual manner based on the nature, seriousness and impact of the behavior to the University.
3. Sanctions. “Sanctions” mean corrective and/or rehabilitative actions imposed on a faculty member for disciplinary purposes. Sanctions may range from mild to severe and from informal to formal. However, the imposition of any sanction must be regarded as a serious disciplinary step and even a first offense may warrant the most extreme penalty, including loss of tenure and termination.

### **Policy and Responsibilities.**

#### 1. General Guidelines.

- a. The University encourages a supportive problem-solving approach to workplace problems, and the University recognizes that conduct by faculty members may require disciplinary action, short of dismissal.
- b. Administrative procedures shall be used in a manner that is consistent with the protection of academic freedom. The faculty member has the right to present evidence on his or her behalf and may seek advice and assistance.

#### 2. Discipline

- a. Upon notice of misconduct by a faculty member, a department chair may seek advice from the Provost’s office, Human Resources, the Office of General Counsel, or other appropriate university officials. The department chair is responsible for investigating the allegation or requesting an investigation by another department, if applicable.
- b. The department chair will be responsible for reviewing allegations of misconduct or inappropriate behavior that may warrant corrective action and determine whether an investigation should be conducted. If the department chair has a conflict of interest, the chair will forward the case to the Dean.
- c. Within ten (10) working days of receipt of the allegation of misconduct, the appropriate official will determine whether the allegation has merit.
- d. The following administrative procedures apply:
  - i. The department chair notifies the faculty member in writing of the allegation and states the nature and details of the alleged misconduct and a proposed corrective action along with details of the faculty members procedural rights under this policy. The chair will, if possible, deliver the written notification of alleged misconduct to the faculty

member by scheduling a personal conference.

- ii. The department chair notifies the dean of the allegation and states the nature and details of the alleged misconduct and a proposed corrective action.
- iii. The faculty member has the right to respond both orally and in writing to the allegations and any evidence provided. A response must be submitted to the department chair within five (5) working days of notification.
- iv. The department chair will review the faculty member's response, if any, and determine if additional investigation is necessary. The faculty member will be provided any additional information gathered and given an opportunity to respond. The faculty member's response, if any, must be presented to the department chair within five (5) working days of being notified of the new or additional information.
- v. After review of the entire matter, the department chair may reconsider the proposed corrective action and provide a written recommendation to the Dean, with a copy to the faculty member. This should normally occur within ten (10) working days after receiving the faculty member's response, if any.
- vi. Upon receipt of the department chair's recommendation, the Dean may consult with the Provost Office, Human Resources, Office of General Counsel, or other appropriate departments. After review of the record, the Dean will make a recommendation of the proposed corrective action to the Provost.
- vii. After review of the entire matter, the Provost will notify the faculty member, the Dean, and the department chair of the corrective action, if any, to be imposed and the timing of such corrective action. If the recommended corrective action is dismissal not based on serious misconduct, the notice will state that the Board will make the final determination on revocation of tenure.
- viii. The faculty member has ten (10) working days to notify the Provost in writing of any intent to appeal the proposed corrective action to the Faculty Grievance and Appeal Committee.
- ix. If a faculty member chooses to appeal the decision, no corrective action shall become effective until the appeal process is complete.

Responsible Party: Provost, Dean, Department chair, and faculty member



3. Sanctions/Corrective Actions.

- a. In cases of misconduct, a range of corrective actions may be imposed on a faculty member. Depending on the severity of the alleged misconduct, the President or the President's designee may immediately place a faculty member on leave pending an investigation when an employee's or university community's safety or security is a concern; or when necessary to remove the person from the workplace so a thorough investigation can be conducted. Leave pending an investigation may also be imposed when a faculty member cannot perform services due to debarment by a government authority or suspension, limitation, revocation, or cancellation of a professional license. The leave pending investigation shall commence immediately upon providing the faculty member with a written notice of the reasons.
  
- b. Corrective actions may include, but are not limited to, the list below. These actions do not appear in order of importance and may be imposed in combination. The type of offense or misconduct will determine specific corrective actions:
  1. Oral or written reprimand;
  2. Loss of merit or other raises for a period not to exceed one year;
  3. Reduction in salary for a period of one year. The reduction may take place immediately;
  4. Reduction in rank with loss of salary. This sanction does not abrogate tenure;
  5. Suspension with or without pay;
  6. Revocation of tenure and termination. Termination and revocation of tenure can only be approved by the UNT System Board of Regents.

4. Appeal

- a. A faculty member may appeal the corrective action to the Faculty Grievance and Appeal Committee according to the procedures set forth in this policy and the Faculty Grievance and Appeal Policy.

**Reference.**

Applicable Laws, Rules and Regulations:

Regents Rule 06.200  
Regents Rule 06.1200

Related Policies and Procedures:

HSC Policy 6.106 Faculty Grievance and Appeal Policy

**Reviewed by Office of the General Counsel:** April 17, 2019

**Approved:** May 28, 2019


**Effective:** June 1, 2019

**Revised:** August 28, 2023

**Next review due on or before:** December 2025

**Policy Owner:** Provost and Executive Vice President

**Subject Matter Specialist:** Provost and Executive Vice President

 <p>Policies of the University of North Texas Health Science Center at Fort Worth</p>	<p><b>Chapter 6</b> <b>Academic and Faculty Affairs</b></p>
<p><b>6.107 Faculty Tenure and Promotion</b></p>	

**Policy Statement and Purpose.**

The purpose of tenure and promotion is to retain, encourage, and promote the best and most promising faculty members who are recognized by their peers for academic excellence. The award of tenure and/or promotion is designed to ensure faculty have the freedom to teach, conduct and publish scholarly activity, express opinions and fully participate in the academic community.

**Application of Policy.**

All UNTHSC faculty

**Definitions.**

1. Full-time Faculty. “Full-time Faculty” means faculty who devote their primary professional efforts ( $\geq 0.75$  FTE) to the affairs of UNTHSC.
2. Initial Appointment. “Initial Appointment” means an appointment granted to an individual who has not previously held a faculty appointment at UNTHSC.
3. Non-Tenure Track Faculty. “Non-Tenure Track Faculty” means faculty appointed to positions that are not eligible for tenure. These faculty may be appointed to the rank of instructor, assistant professor, associate professor and professor.
4. Part-time Faculty. “Part-time Faculty” means faculty who devote less than 0.75 FTE of their professional efforts to the affairs of UNTHSC.
5. Probationary Period. “Probationary Period” means the period of service that precedes the awarding of tenure.
6. Promotion. “Promotion” means an elevation in rank.
7. Tenure. “Tenure” means the entitlement of a faculty member to continue in the faculty member’s academic position unless dismissed by the institution for good cause as set forth in the policies and procedures of the institution.

**Policy and Responsibilities.**

1. Annual Evaluations.
  - a. The Office of Faculty Affairs will annually set the cycle and process for performance evaluations. Each department or college will have established criteria for evaluating faculty performance in an annual review. These criteria are published and made available on the Faculty Affairs website.
  - b. Rating categories for annual evaluations will be utilized to provide feedback to faculty. The rating categories for faculty performance will be outstanding, quality, or deficient

in accordance with college standards.

- c. Faculty performance that is outstanding in two of the general areas of teaching, research, and service (including patient care), and quality rating in a third area will be noted as proficient in the evaluation. The evaluation will state the basis for the rating in accordance with the criteria. Faculty evaluations that are deemed deficient in one or more areas will be reported to the dean.
- d. Annual evaluations rated as deficient in one or more areas will require either a “Periodic Peer Review” or “Professional Improvement Review” at the discretion of the dean.
- e. For faculty with an initial appointment at the college/school level, the appropriate Dean, with the approval of the Provost, may develop ad hoc procedures for annual evaluations, and promotion and tenure reviews.

Responsible Party: Dean, Department Chair, and faculty member.

2. Evaluation for Promotion.

- a. General Areas - Faculty may be promoted based on performance in the following areas:
  - i. teaching;
  - ii. research and/or other scholarly activities; and
  - iii. service (clinical service, academic service/administration, and/or public or professional service).
- b. Evaluation Standards - College/Schools will develop specific evaluation standards, approved by the Provost, that are applicable to a faculty member based on academic rank. Faculty who are rated as outstanding performance in two categories and quality performance in a third category merit a promotion.

Responsible Party: School/College Promotion and Tenure Committee, Faculty, Dean, Provost

3. Probationary Period.

Faculty with a tenure track appointment will be given written notice of the probationary period upon hire. The minimum probationary period for tenure track faculty shall be no less than one year. The maximum probationary period for tenure track faculty in any academic rank or combination of academic ranks shall be as follows:

- a. Initial Appointment - Assistant Professor. The probationary period for an Assistant Professor shall not exceed nine (9) years, with the decision on tenure being made during the last probationary year.
- b. Initial Appointment - Associate Professor or Professor. The probationary period for an Associate Professor or Professor shall be a minimum of one (1) year before applying for tenure, but not to exceed six (6) years.
- c. Faculty members who are not awarded tenure at the end of the maximum probationary period will not be entitled to tenure by virtue of being employed at UNTHSC past their probationary period.
- d. Leave of Absence. A faculty member granted a leave of absence in accordance with UNTHSC policy which will have his/her probationary period extended accordingly.

4. Evaluation for Tenure.

- a. Award of Tenure. Faculty will be considered for award of tenure based on established criteria.
- b. Eligible Rank. Faculty with the rank of associate professor or professor are eligible for tenure. Non-tenure track faculty are not eligible for tenure. All transfers between tracks must be approved by the department chair, the appropriate Dean, and the Provost. Transfer between non-tenure track and the tenure track may occur only once in each direction.

5. Tenure Application Process.

- a. An individual faculty member, in consultation with their department chair, may initiate the tenure application process. This may occur any time during the probationary period.
- b. The tenure packet for the faculty member should include all the documents listed in the Promotion and/or Tenure Packet Checklist found on the Office of Faculty Affairs website at <https://www.unthsc.edu/office-of-faculty-affairs/annual-faculty-promotion-and-tenure/>.
- c. The tenure application review process will follow the schedule and procedures established by the Office of Faculty Affairs, as approved by the Provost.
- d. The department chair, school/college promotion and tenure committee, and dean will provide recommendations to the Provost.
- e. The Provost shall review the tenure packet and make their recommendation to the President. The President through the Chancellor will make a recommendation to the Board of Regents.
- f. The faculty member shall receive written notice within fifteen (15) working days of the decision at each step of the review process.
- g. If the faculty member disagrees with the decision, they have the opportunity to appeal the decision in accordance to the Faculty Grievance Policy.
- h. The tenure application process is confidential to the extent permitted by law.

Responsible Party: Faculty member, Promotion and Tenure Committee, Department Chair, Dean, Provost, President, Chancellor.

6. Promotion Application Process.

- a. An individual faculty member, in consultation with their department chair, may initiate the promotion application process. This may occur any time during the probationary period.
- b. The promotion application process will follow the schedule and procedures established by the Office of Faculty Affairs, as approved by the Provost.
- c. The department chair, school/college promotion and tenure committee, and dean will provide recommendations to the Provost.
- d. The Provost shall review the promotion packet and make their recommendation to the

President.

- e. The faculty member shall receive written notice within fifteen (15) working days of the decision at each step of the review process.
- f. If the faculty member disagrees with the decision, they have the opportunity to appeal the decision in accordance to the Faculty Grievance Policy.
- g. The promotion application process is confidential to the extent permitted by law.

7. Tenure Application Process- New Hire with tenure

- a. Persons whose initial appointment to UNTHSC at the rank of associate professor or professor may be eligible for tenure as approved by the UNT System Board of Regents.
  - b. The tenure packet for the candidate should include the following documents for review and consideration:
    - i. Full academic CV of the candidate;
  - c. Three external letters of reference collected during the search process;
  - d. Letter of support from the department chair of the department requesting the hire. This letter should provide a recommendation on whether the candidate's teaching, research, and service credentials satisfy the standards established by the appropriate school/college for tenure.
  - e. Letter of support from the appropriate search committee chair recommending tenure. This letter should provide a recommendation on whether the candidate satisfies the standards established by the appropriate school/college for tenure.
  - f. Letter of support from the appropriate promotion and tenure committee chair recommending tenure. This letter should provide a recommendation on whether the candidate satisfies the standards established by the appropriate school/college for tenure.
8. The Dean will review the tenure packet and provide recommendations to the Provost.
9. The Provost will review the tenure packet and make a recommendation to the President. The President through the Chancellor will make a recommendation to the UNT System Board of Regents

Responsible Party: Faculty member, Promotion and Tenure Committee, Department Chair, Dean, Provost, President.

Reference.

Applicable Laws, Rules and Regulations:  
Board of Regents Rules 6.1000 Tenure

Related Policies and Procedures:

HSC Policy 6.106 Faculty Grievance and Appeal

**Reviewed by Office of the General Counsel:** April 17, 2019

**Approved:** May 28, 2019

**Effective:** June 1, 2019

**Revised:** August 28, 2023

**Next review due on or before:** December 2025

**Policy Owner:** Provost and Executive Vice President

**Subject Matter Specialist:** Provost and Executive Vice President

View remaining campus policies and procedures in the appendix.





## Board Briefing

---

**Committee:** Full Board

**Submission Date:** September 14, 2023

**Title:** Adoption of Amendments to Regents Rules 06.1200, *Dismissal and Revocation of Tenure*

---

### **BACKGROUND SUMMARY:**

This past legislative session Senate Bill 18 amended Texas Education Code, Section 51.942 - *Faculty Tenure*, effective September 1, 2023. As amended, section 51.942 requires the governing board of an institution of higher education to adopt all policies and procedures regarding tenure. Further, the amended statute allows the Board of Regents to adopt policies and procedures that authorize the summary dismissal of a tenured faculty member based on a finding of serious misconduct, which is distinct from dismissal for adequate cause.

Section 51.942, sets out fundamental due process requirements for summary dismissal procedures, including the opportunity to appeal. Otherwise, governing boards may design their policies and procedures to fit each institution's particular educational mission, traditions, resources, and circumstances relevant to each institution's character, role, and scope, in addition to other relevant factors determined by the board. The governing board is required to seek advice and comment from the institution's faculty before adopting any policies and procedures pursuant to the statute.

### **PURPOSE:**

The proposed amendments to 06.1200, *Dismissal and Revocation of Tenure*, align the Regents Rules with the statutory language and requirements of section 51.942.

### **ASSESSMENT:**

The Board has the authority to adopt these amendments under Texas Education Code, section 105.101, which grants the Board the power to adopt rules and policies for the administration of the Board's powers and duties. As amended, effective September 1, 2023, Texas Education Code, section 51.942 requires the Board to approve all policies and procedures regarding tenure for each institution.

### **FINANCIAL IMPLICATIONS/TIMELINE:**

The amended Regents Rules will become effective upon Board approval. There are no fiscal implications related to the amendments to this Regents Rule.

### **PROPOSED BOARD ACTION:**

Adoption of the amendments to Regents Rule 06.1200, *Dismissal and Revocation of Tenure*, as set forth in the attachments.

Attachments Filed Electronically:

1. Proposed amendment to Regents Rule 06.1200, *Dismissal and Revocation of Tenure* (with Track Changes)
  2. Regents Rules 06.1200, *Dismissal and Revocation of Tenure* (Clean Version)
- 

**Legal Approval:**

*Alan Stucky*

---

Alan Stucky  
General Counsel

**Recommendation for Approval:**

*Susan Alanis*

Susan Alanis (Oct 23, 2023 19:47 CDT)

---

Susan Alanis  
Deputy Chancellor,  
Finance and Operations

*Michael R. Williams*

---

Michael R. Williams  
Chancellor



## Board Order 2023-

---

**Title:** Adoption of Amendments to Regents Rules 06.1200, *Dismissal and Revocation of Tenure*

---

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 6, 2023, pursuant to a motion made by Regent \_\_\_\_\_ and seconded by Regent \_\_\_\_\_, the Board approved the motion presented below:

Whereas, the Board has the authority to adopt rules and policies for the administration of the Board's powers and duties; and

Whereas, Texas Education Code § 51.942, as amended effective September 1, 2023, allows the Board of Regents to adopt policies and procedures with provisions that authorize the summary dismissal of a tenured faculty member based on a finding of serious misconduct; and,

Whereas, the proposed amendments align Regents Rule 06.1200 with Texas Education Code § 51.942 statutory language and requirements.

Now, Therefore, The Board of Regents authorizes and approves the following:

1. Amendments to Regents Rules 06.1200, *Dismissal and Revocation of Tenure*, as set forth in the attachment to this briefing and order.
- 

### Board Action:

VOTE: \_\_\_\_\_ ayes \_\_\_\_\_ nays \_\_\_\_\_ abstentions

Attested By:

Approved By:

\_\_\_\_\_  
Rachel Barone, Secretary  
Board of Regents

\_\_\_\_\_  
Laura Wright, Chair  
Board of Regents

06.1200 Dismissal and Revocation of Tenure

06.1201 Dismissal of Tenured Faculty. The employment of a tenured faculty member may be terminated only ~~by the Board~~ in accordance with this Rule and only for adequate cause, financial exigency, or discontinuance of academic programs.

06.1202 Procedures for Dismissal of Tenured Faculty for Adequate Cause. Except as provided by the procedures for summary dismissal set forth in this Rule, each Institution shall recommend to the Board for review, approval, and adoption procedures for dismissal of a tenured faculty member for adequate cause. Such procedures shall provide the faculty member with appropriate due process including, at a minimum, the following provisions:

1. reasonable and timely notice of the reason for possible dismissal;
2. an opportunity to meet with and respond to an administrator prior to initiation of formal action to dismissal;
3. an informal, advisory inquiry into the reasons for the dismissal before initiation of formal proceedings;
4. a statement informing the faculty member of the reason for initiation of formal dismissal proceedings and of his or her procedural rights under Institution policy;
5. an opportunity for a formal hearing; and
6. a requirement that the Board make the final determination involving the dismissal of a tenured faculty member.

06.1203 Board Review. A recommendation to dismiss a tenured faculty member for adequate cause shall be forwarded by the President to the Board through the Chancellor. A tenured faculty member shall not be dismissed for adequate cause

except by a majority vote of the total membership of the Board. The Board shall provide specific reasons in writing for any decision to dismiss a tenured faculty member for adequate cause.

06.1204 Dismissal of Non-Tenured Faculty. An Institution may dismiss the employment of a non-tenured faculty member by non-renewal of his or her appointment, for adequate cause, financial exigency, or discontinuance of academic programs during the course of his or her appointment.

06.1205 Procedures for Dismissal of Non-Tenured Faculty for Adequate Cause. Each Institution shall adopt procedures for dismissal of non-tenured faculty for adequate cause. Such procedures shall include, at minimum, reasonable and timely notice of the reason for dismissal and an opportunity to respond.

06.1206 Adequate Cause. Each Institution shall recommend to the Board for review, approval, and adoption policies and procedures for dismissal of a tenured faculty member for adequate cause.

1. Adequate cause for dismissal of a tenured faculty member may include, but shall not be limited to, a determination that the faculty member has:
  - (a) exhibited professional incompetence;
  - (b) continually or repeatedly failed to perform duties or meet responsibilities of the faculty member's position;
  - (c) failed to successfully complete a post-tenure review professional development program;
  - (d) engaged in conduct involving moral turpitude that adversely affects the Institution or the faculty member's performance of duties or meeting of responsibilities;
  - (e) violated laws or System or Institution policies or regulations substantially related to the performance of the faculty member's duties;

- (f) been convicted of a crime affecting the fitness of the faculty member to engage in teaching, research, service, outreach, or administration or failed to disclose or misrepresented criminal history background information;
- (g) engaged in unprofessional conduct that adversely affects the Institution or System or the faculty member's performance of duties or meeting of responsibilities; or
- (h) falsified the faculty member's academic credentials.

06.1207 Suspension During Adequate Cause Proceedings. A tenured or non-tenured faculty member may be suspended pending proceedings to dismiss for adequate cause if the faculty member presents a threat of immediate harm to the Institution.

06.1208 Procedures for Summary Dismissal of Tenured Faculty Based on Serious Misconduct. A tenured faculty member may be summarily dismissed – and lose tenure – upon a finding of serious misconduct.

1. Summary dismissal – and loss of tenure – must be based upon a finding of serious misconduct substantiated by an investigation conducted by the System or Institution, or a federal, state, or local agency with applicable jurisdiction over the subject matter. Serious misconduct includes a finding of any of the following:

- (a) intentional or knowing falsification of a faculty member's academic credentials;
- (b) egregious scientific or research misconduct;
- (c) conviction of a crime substantially affecting the fitness of the faculty member to engage in teaching, research, creative activity, service, outreach, or administration;

(d) sexual misconduct that violates federal Title IX or state sexual misconduct laws or policies; or

(e) violence or threat of violence in the workplace

2. Before a faculty member may be summarily dismissed – and lose tenure – the faculty member must be provided with appropriate due process, that includes:

(a) written notice of the allegation(s) against the faculty member together with an explanation of the evidence supporting possible dismissal, and copies of non-confidential or non-privileged investigative reports (with appropriate redactions) that are available to the Institution at the time of written notice;

(b) an opportunity for the faculty member to respond to the allegations in a hearing with the Institution's Provost;

(c) consideration of the faculty member's response, if any, by the Institution's Provost;

(d) a written determination by the Provost stating whether the Institution will proceed with the summary dismissal that clearly states:

(i) that the faculty member is not subject to summary dismissal; or

(ii) that the faculty member is subject to summary dismissal, the effective date of the dismissal, and information regarding the faculty member's opportunity for a post-dismissal appeal.

(e) prompt delivery to the faculty member of the Provost's written determination; and

(f) the opportunity to appeal the determination of summary dismissal, as follows:

(i) if the faculty member desires to appeal, the appeal, including reasons for the appeal, must be submitted in writing to the Institution's President no later than ten (10) business days following delivery of the written determination; and

(ii) if an appeal is filed, unless extenuating circumstances otherwise prevent it, the President will render a final determination no later than fifteen (15) business days following receipt of the faculty member's appeal – the President's decision shall be final; or

(iii) if no appeal is filed, the President shall summarily dismiss the faculty member as of the effective date specified in the written determination.

(g) For purposes of this Rule, notice shall be deemed delivered to and received by the faculty member the day an email is sent to the faculty member's Institutionally assigned email address.

06.1209 Suspension During Summary Dismissal Proceedings. A faculty member subject to a summary dismissal procedure may be suspended with or without pay during the dismissal process. If suspension without pay has not already been imposed, notice of summary dismissal shall result in immediate suspension without pay.

06.1210 Procedures for Dismissal of Tenured or Non-Tenured Faculty for Financial Exigency. Each institution shall adopt procedures for dismissal of tenured or non-tenured faculty for financial exigency. Such procedures shall include, at minimum, the following provisions:

1. reasonable and timely notice of the intent to dismiss a faculty appointment because of financial exigency;



2. an opportunity for a formal hearing before a faculty committee;
3. an opportunity for tenured faculty to be appointed to an open position in another department at the institution in which the faculty member is qualified to teach; and
4. an opportunity of re-employment for faculty members who are dismissed based on financial exigency if the position is restored within a period of three years from the dismissal date.

06.1211 Dismissal of Tenured Faculty for Financial Exigency. A tenured faculty member may be dismissed due to financial exigency only upon recommendation by the President and approval by the Board.

06.1212 Procedures for Dismissal of a Tenured or Non-Tenured Faculty for Discontinuance of Academic Programs. Each institution shall adopt procedures for dismissal of tenured or non-tenured faculty for discontinuance of academic programs. Such procedures shall include, at minimum, the following provisions:

1. reasonable and timely notice of the intent to dismiss a faculty appointment because of discontinuance of academic programs;
2. an opportunity for a formal hearing before a faculty committee; and
3. an opportunity for tenured faculty to be appointed to an open position in another department at the institution in which the faculty member is qualified to teach.

06.1213 Dismissal of Tenured Faculty for Discontinuance of Academic Programs. A tenured faculty member may be dismissed due to discontinuance of academic programs only upon recommendation by the President and approval by the Board.

06.1214 Reporting Requirement. Each Institution shall file a copy of its dismissal and revocation of tenure policies and procedures and any amendments thereto with the Texas

Higher Education Coordinating Board on or before  
September 1 of each year.

Adopted: February 7, 2008

Effective: February 7, 2008

Revised: August 18, 2011; September 1, 2023; November 6, 2023

06.1200 Dismissal and Revocation of Tenure

06.1201 Dismissal of Tenured Faculty. The employment of a tenured faculty member may be terminated only in accordance with this Rule and only for adequate cause, financial exigency, or discontinuance of academic programs.

06.1202 Procedures for Dismissal of Tenured Faculty for Adequate Cause. Except as provided by the procedures for summary dismissal set forth in this Rule, each Institution shall recommend to the Board for review, approval, and adoption procedures for dismissal of a tenured faculty member for adequate cause. Such procedures shall provide the faculty member with appropriate due process including, at a minimum, the following provisions:

1. reasonable and timely notice of the reason for possible dismissal;
2. an opportunity to meet with and respond to an administrator prior to initiation of formal action to dismissal;
3. an informal, advisory inquiry into the reasons for the dismissal before initiation of formal proceedings;
4. a statement informing the faculty member of the reason for initiation of formal dismissal proceedings and of his or her procedural rights under Institution policy;
5. an opportunity for a formal hearing; and
6. a requirement that the Board make the final determination involving the dismissal of a tenured faculty member.

06.1203 Board Review. A recommendation to dismiss a tenured faculty member for adequate cause shall be forwarded by the President to the Board through the Chancellor. A tenured faculty member shall not be dismissed for adequate cause

except by a majority vote of the total membership of the Board. The Board shall provide specific reasons in writing for any decision to dismiss a tenured faculty member for adequate cause.

06.1204 Dismissal of Non-Tenured Faculty. An Institution may dismiss the employment of a non-tenured faculty member by non-renewal of his or her appointment, for adequate cause, financial exigency, or discontinuance of academic programs during the course of his or her appointment.

06.1205 Procedures for Dismissal of Non-Tenured Faculty for Adequate Cause. Each Institution shall adopt procedures for dismissal of non-tenured faculty for adequate cause. Such procedures shall include, at minimum, reasonable and timely notice of the reason for dismissal and an opportunity to respond.

06.1206 Adequate Cause. Each Institution shall recommend to the Board for review, approval, and adoption policies and procedures for dismissal of a tenured faculty member for adequate cause.

1. Adequate cause for dismissal of a tenured faculty member may include, but shall not be limited to, a determination that the faculty member has:
  - (a) exhibited professional incompetence;
  - (b) continually or repeatedly failed to perform duties or meet responsibilities of the faculty member's position;
  - (c) failed to successfully complete a post-tenure review professional development program;
  - (d) engaged in conduct involving moral turpitude that adversely affects the Institution or the faculty member's performance of duties or meeting of responsibilities;
  - (e) violated laws or System or Institution policies or regulations substantially related to the performance of the faculty member's duties;

- (f) been convicted of a crime affecting the fitness of the faculty member to engage in teaching, research, service, outreach, or administration or failed to disclose or misrepresented criminal history background information;
- (g) engaged in unprofessional conduct that adversely affects the Institution or System or the faculty member's performance of duties or meeting of responsibilities; or
- (h) falsified the faculty member's academic credentials.

06.1207 Suspension During Adequate Cause Proceedings. A tenured or non-tenured faculty member may be suspended pending proceedings to dismiss for adequate cause if the faculty member presents a threat of immediate harm to the Institution.

06.1208 Procedures for Summary Dismissal of Tenured Faculty Based on Serious Misconduct. A tenured faculty member may be summarily dismissed – and lose tenure – upon a finding of serious misconduct.

1. Summary dismissal – and loss of tenure – must be based upon a finding of serious misconduct substantiated by an investigation conducted by the System or Institution, or a federal, state, or local agency with applicable jurisdiction over the subject matter. Serious misconduct includes a finding of any of the following:
  - (a) intentional or knowing falsification of a faculty member's academic credentials;
  - (b) egregious scientific or research misconduct;
  - (c) conviction of a crime substantially affecting the fitness of the faculty member to engage in teaching, research, creative activity, service, outreach, or administration;

- (d) sexual misconduct that violates federal Title IX or state sexual misconduct laws or policies; or
  - (e) violence or threat of violence in the workplace
2. Before a faculty member may be summarily dismissed – and lose tenure – the faculty member must be provided with appropriate due process, that includes:
- (a) written notice of the allegation(s) against the faculty member together with an explanation of the evidence supporting possible dismissal, and copies of non-confidential or non-privileged investigative reports (with appropriate redactions) that are available to the Institution at the time of written notice;
  - (b) an opportunity for the faculty member to respond to the allegations in a hearing with the Institution’s Provost;
  - (c) consideration of the faculty member’s response, if any, by the Institution’s Provost;
  - (d) a written determination by the Provost stating whether the Institution will proceed with the summary dismissal that clearly states:
    - (i) that the faculty member is not subject to summary dismissal; or
    - (ii) that the faculty member is subject to summary dismissal, the effective date of the dismissal, and information regarding the faculty member’s opportunity for a post-dismissal appeal.
  - (e) prompt delivery to the faculty member of the Provost’s written determination; and
  - (f) the opportunity to appeal the determination of summary dismissal, as follows:

- (i) if the faculty member desires to appeal, the appeal, including reasons for the appeal, must be submitted in writing to the Institution's President no later than ten (10) business days following delivery of the written determination; and
  - (ii) if an appeal is filed, unless extenuating circumstances otherwise prevent it, the President will render a final determination no later than fifteen (15) business days following receipt of the faculty member's appeal – the President's decision shall be final; or
  - (iii) if no appeal is filed, the President shall summarily dismiss the faculty member as of the effective date specified in the written determination.
- (g) For purposes of this Rule, notice shall be deemed delivered to and received by the faculty member the day an email is sent to the faculty member's Institutionally assigned email address.

06.1209 Suspension During Summary Dismissal Proceedings. A faculty member subject to a summary dismissal procedure may be suspended with or without pay during the dismissal process. If suspension without pay has not already been imposed, notice of summary dismissal shall result in immediate suspension without pay.

06.1210 Procedures for Dismissal of Tenured or Non-Tenured Faculty for Financial Exigency. Each institution shall adopt procedures for dismissal of tenured or non-tenured faculty for financial exigency. Such procedures shall include, at minimum, the following provisions:

1. reasonable and timely notice of the intent to dismiss a faculty appointment because of financial exigency;

2. an opportunity for a formal hearing before a faculty committee;
3. an opportunity for tenured faculty to be appointed to an open position in another department at the institution in which the faculty member is qualified to teach; and
4. an opportunity of re-employment for faculty members who are dismissed based on financial exigency if the position is restored within a period of three years from the dismissal date.

06.1211 Dismissal of Tenured Faculty for Financial Exigency. A tenured faculty member may be dismissed due to financial exigency only upon recommendation by the President and approval by the Board.

06.1212 Procedures for Dismissal of a Tenured or Non-Tenured Faculty for Discontinuance of Academic Programs. Each institution shall adopt procedures for dismissal of tenured or non-tenured faculty for discontinuance of academic programs. Such procedures shall include, at minimum, the following provisions:

1. reasonable and timely notice of the intent to dismiss a faculty appointment because of discontinuance of academic programs;
2. an opportunity for a formal hearing before a faculty committee; and
3. an opportunity for tenured faculty to be appointed to an open position in another department at the institution in which the faculty member is qualified to teach.

06.1213 Dismissal of Tenured Faculty for Discontinuance of Academic Programs. A tenured faculty member may be dismissed due to discontinuance of academic programs only upon recommendation by the President and approval by the Board.

06.1214 Reporting Requirement. Each Institution shall file a copy of its dismissal and revocation of tenure policies and procedures and any amendments thereto with the Texas



Higher Education Coordinating Board on or before  
September 1 of each year.

Adopted: February 7, 2008

Effective: February 7, 2008

Revised: August 18, 2011; September 1, 2023; November 6, 2023