

Faculty Handbook

University of Houston

The University of Houston is part of the University of Houston System and is the largest, most comprehensive university in this system, which includes: UH-Clear Lake, UH-Downtown, and UH-Victoria.

In 2010, The University of Houston was included as one of three public universities in Texas with the designation of Carnegie Top Tier Institution. The number of doctoral degrees granted and the level of research revenue generated were instrumental in winning this designation.

The University of Houston is an Affirmative Action/Equal Opportunity employer. The University provides equal treatment and opportunity to all persons without regard to race, color, religion, national origin, sex, age, disability, veteran status, or sexual orientation except where such distinction is required by law.

This statement reflects compliance with Titles VI and VII of the Civil Rights Act of 1964, Title IX of the Education Amendment Act of 1972, and Sections 503 and 504 of the Rehabilitation Act of 1973. Furthermore, the University of Houston, in compliance with the Age Discrimination in Employment Act of 1967, Executive Orders 11246 and 11375, and Section 402 of the Vietnam Era Veterans Readjustment Act of 1974, does not discriminate against any employees or applicants for employment on the basis of age or because they are disabled veterans or veterans of the Vietnam era. This non-discrimination policy covers admission, access, and treatment in programs and activities, and application for and treatment in employment. The University of Houston also complies with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination against qualified individuals with disabilities.

This University of Houston *Faculty Handbook* and related policies do not constitute an employment contract or an offer to contract with any employee. The University of Houston reserves the right to change, amend, or abandon any of the policies contained in this handbook at any time. Nothing contained in this handbook changes the employment at will status of any employee, or creates any additional rights, remedies at law, or expectations of continued employment.

This handbook replaces all previously published handbooks. University of Houston policies are subject to University of Houston System policies.

Compiled and distributed by the Office of the Faculty Senate, University of Houston.
2011
Revised, 23rd Edition



UNIVERSITY OF HOUSTON SYSTEM
UNIVERSITY OF HOUSTON

RENU KHATOR
Chancellor and President

May 2011

Dear Colleagues:

There is much cause for celebration at the University of Houston this year. The announcement in January by the Carnegie Foundation for the Advancement of Teaching that elevated the University of Houston to its highest ranking placed us among an elite group of nationally recognized universities – the equivalent of Tier One.

Then, in March, *The Princeton Review* announced they are including UH in “The Best 376 Colleges: 2012 Edition,” their guidebook of universities acknowledged for excellence in undergraduate education.

As we celebrate these successes, we also face the realities of state funding cuts of undetermined magnitude. I welcome the opportunity to work with you within the context of our shared governance system to overcome any challenges, and continue our unwavering journey to flagship status, achieving our common goals, and – above all – preserving our core mission of providing our students with the best possible education.

This Faculty Handbook is your central source of information about State of Texas, UH System, and University of Houston policies pertaining to your rights and responsibilities as faculty members and state employees. I encourage you to read it, since policies and procedures undergo continual revisions.

You can also visit <http://fs.uh.edu/documents/facHandbook.pdf> for the latest online updates to the handbook.

My gratitude goes to the Faculty Senate and the Office of the Senior Vice President for Academic Affairs and Provost who collaborated in updating and producing this handbook.

Best wishes for the academic year 2011-2012!

Renu Khator

RK/og

UNIVERSITY of **HOUSTON**
FACULTY SENATE

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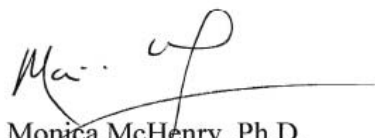
Dear Faculty Member,

The preamble to the Constitution of the University of Houston Faculty Senate states:

Shared governance is the collective commitment of the faculty and administration at the University of Houston to work cooperatively, together with other University constituencies, to achieve a common vision of excellence for the University. Successful shared governance requires an active partnership at all levels of the enterprise, from individual programs to the overall University, to provide a basis for joint participation in setting priorities and formulating policy. Effective implementation of shared governance depends on mutual trust, shared confidence, and ongoing communication between faculty and administrators, informed by an appreciation of their interdependent roles and responsibilities.

A successful university embraces the principles of shared governance. The 23^d edition of the Faculty Handbook represents the joint efforts of faculty and administration to update this comprehensive reference for University of Houston policies and procedures that pertain to faculty activities. These include responsibilities, rights, and information about resources and services available to faculty on campus.

I would like to thank the members of the Faculty Senate and the administration, as well as the Faculty Senate office staff, for their hard work and dedication in producing the current Faculty Handbook.



Monica McHenry, Ph.D.
President, Faculty Senate 2011

Note to Faculty

Definitions:

For ease in reading this handbook the following titles have been shortened as noted:

Chancellor/President: University of Houston System Chancellor and University of Houston President

Chancellor: University of Houston System Chancellor and University of Houston President acting in his/her capacity as the head of the UH System.

President: University of Houston System Chancellor and University of Houston President acting in his/her capacity as the head of the University of Houston.

Provost: University of Houston System Senior Vice Chancellor for Academic Affairs and University of Houston Senior Vice President for Academic Affairs and Provost

For the purpose of this Handbook, administrative ranks include: President, Senior Vice President for Academic Affairs/Provost, Executive Vice President, Vice President, Dean, Associate Vice President, Assistant Vice President, Chair, Executive Director, and Director. Faculty ranks include: Professor, Associate Professor, Assistant Professor, Librarian, Associate Librarian, and Assistant Librarian.

Handbook Availability

Since 2000 the handbook has been available online at <http://fs.uh.edu/documents/facHandbook.pdf>.

A limited number of print copies of the handbook will be distributed with one print copy each to the Chancellor/President, Senior Vice President for Academic Affairs/Provost, General Counsel, M.D. Anderson Library and the Office of the Faculty Senate.

A copy of the Faculty Handbook will be distributed on CDs as follows:

- one copy each to the remaining Vice Presidents and Deans, and
- two copies each to the M.D. Anderson Library and the Office of the Faculty Senate.

These copies should be made available for review upon request.

Important Changes and References:

The online version of the *Faculty Handbook* will be kept as current as possible. Information online will supersede that of any printed version available. As stated in M.A.P.P. 01.01.01, all "University of Houston administrative and business operations are subject to federal, State of Texas, Board of Regents, and University of Houston System laws and regulations, and to standards of good business and management practice." Wherever possible references have been made to the applicable policies and procedures set forth in the Board of Regents Policies (available online at <http://www.uhsa.uh.edu/board-of-regents/policies/>), the System Administrative Memoranda/ S.A.M.s (available online at <http://www.uh.edu/af/universityservices/policies/sam/index.htm>) and the University of Houston's Manual of Policies and Procedures/M.A.P.P.s are available online at <http://www.uh.edu/af/universityservices/policies/mapp/index.htm>.

Note: Policies are included in the body of the handbook. Procedures are generally found in the Appendices.

For the most current *Faculty Handbook*, visit <http://fs.uh.edu/documents/facHandbook.pdf>

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Mission

Approved by the Board of Regents on February 15, 2007

The Mission of the University of Houston is to discover and disseminate knowledge through the education of a diverse population of traditional and non-traditional students, and through research, artistic, and scholarly endeavors, as it becomes the nation's premier public university in an urban setting. In this role, the University of Houston applies its expertise to the challenges facing the local, state, national, and international communities, and it establishes and nurtures relationships with community organizations, government agencies, public schools, and the private sector to enhance the educational, economic, and cultural vitality of Houston and Texas.

University of Houston Goals

Nationally Competitive:

UH will become a nationally competitive public research university as measured by the Top American Public Research Universities and/or Carnegie Foundation for the Advancement of Teaching.

Student Success:

UH will have a student profile consistent with a nationally competitive public research university by creating an environment in which student success can be ensured.

Community Advancement:

UH will commit to fulfilling regional and state workforce needs while becoming the primary engine of social, economic and intellectual development.

Athletic Competitiveness:

UH will provide a comprehensive educational experience for its students and within this context, it will seek to build the strongest athletic program possible.

National and Local Recognition:

UH will be known for its accomplishments locally and nationally.

Resource Competitiveness:

UH will build a resource base that enables it to accomplish its mission and realize its vision.

General Information

Administrative Officers

University of Houston System Board of Regents

Officers

Effective September 1, 2011

Nelda Luce Blair	Chair
Michele "Mica" Mosbacher	Vice Chair
Jarvis V. Hollingsworth	Secretary

Members*

Term Expires May 31, 2012

Tamecia Glover Harris	Student Regent
-----------------------	----------------

Terms Expire August 31, 2013

Nelda Luce Blair	Woodlands
Jacob M. Monty	Houston
Michele "Mica" Mosbacher	Houston

Terms Expire August 31, 2015

Nandita V. Berry	Houston
Tilman J. Fertitta	Houston
Jarvis V. Hollingsworth	Sugarland

*Terms Expire August 31, 2011**

Spencer D. Armour, III	Midland
Roger F. Welder	Victoria
Welcome W. Wilson, Jr.	Houston

*Serve until Governor appoints replacement

University of Houston System Administration

Renu Khator, *Chancellor*
Ph.D., Purdue University

John Antel, *Senior Vice Chancellor for Academic Affairs*
Ph.D., University of California at Los Angeles

Carl Carlucci, *Executive Vice Chancellor for Administration and Finance*
Ph.D., New York University

Grover S. Campbell, *Vice Chancellor for Governmental Relations*
M.B.A., University of Texas at Austin

Dona H. Cornell, *Vice Chancellor for Legal Affairs and General Counsel*
J.D., University of Texas at Austin

Rathindra N. Bose, *Vice Chancellor for Research and Technology Transfer*
Ph.D., Georgetown University

J. Richard Walker, *Vice Chancellor for Student Affairs*
Ed.D., University of Miami

Vacant, *Vice Chancellor for University Advancement*
TBA

Don F. Guyton, C.P.A., *Chief Audit Executive*
M.B.A., University of New Orleans

University of Houston System Presidents

Renu Khator, *Chancellor of the University of Houston System and
President of the University of Houston*
Ph.D., Purdue University

William A. Staples, *President, University of Houston–Clear Lake*
Ph.D., University of Houston

William V. Flores, *President, University of Houston–Downtown*
Ph.D., Stanford University

Philip D. Castille, *President, University of Houston–Victoria*
Ph.D., Tulane University

University of Houston Administration

Renu Khator, *President*

Ph.D., Purdue University

John Antel, *Senior Vice President for Academic Affairs and Provost*

Ph.D., University of California at Los Angeles

Carl Carlucci, *Executive Vice President for Administration and Finance*

Ph. D., New York University

Elwyn C. Lee, *Vice President for Community Relations and Institutional Access*

J.D., Yale University

Grover S. Campbell, *Vice President for Governmental Relations*

M.B.A., University of Texas at Austin

Dona H. Cornell, *Vice President for Legal Affairs and General Counsel*

J.D., University of Texas at Austin

Rathindra N. Bose, *Vice President for Research and Technology Transfer*

Ph.D., Georgetown University

J. Richard Walker, *Vice President for Student Affairs*

Ed.D., University of Miami

Vacant, *Vice President for University Advancement*

TBA

Mack Rhoades, *Director of Athletics*

M.A., Indiana University

Barbara E. Stanley, *Chief of Staff to the Chancellor/President and Assistant Vice President for Community Relations*

B.A., University of Texas at Austin

James Anderson, *Executive Associate to the Chancellor/President*

Ph.D., Ohio State University

Elaine M. Charlson, *Executive Associate Vice President for Academic and Faculty Affairs*

Ph.D., University of Missouri-Columbia

Patricia Oliver, *Dean, Gerald D. Hines College of Architecture*

M. Arch., University of California at Los Angeles

Latha Ramchand, *Dean, C. T. Bauer College of Business Administration*

Ph.D., Northwestern University

Robert McPherson, *Dean, College of Education*

Ph.D., University of Houston

Joseph W. Tedesco, *Dean, Cullen College of Engineering*

Ph.D., Lehigh University

William Monroe, *Dean, The Honors College*

Ph.D., University of Chicago

John Bowen, *Dean, Conrad N. Hilton College of Hotel and Restaurant Management*

Ph.D., Texas A&M University

John M. Roberts, *Dean, College of Liberal Arts and Social Sciences*
Ph.D., Ohio State University

Raymond L. Nimmer, *Dean, Law Center*
J.D., Valparaiso University

Mark A. Smith, *Dean, College of Natural Sciences and Mathematics*
Ph.D., University of Colorado

Earl L. Smith, III, *Dean, College of Optometry*
Ph.D., O.D., University of Houston

F. Lamar Pritchard, *Dean, College of Pharmacy*
Ph.D., University of Georgia

William E. Fitzgibbon, III, *Dean, College of Technology*
Ph.D., Vanderbilt University

Ira Colby, *Dean, Graduate College of Social Work*
D.S.W., University of Pennsylvania

Dana C. Rooks, *Dean of Libraries*
M.A., University of Oklahoma, M.S. Louisiana State University

Edward Hugetz, *Associate Vice President for Planning and Outreach*
M.H., State University of New York at Buffalo

Dennis Fouty, *Associate Vice President for Information Technology and Chief Information Officer*
Ph.D., Ohio University

Jane Olinger, *Assistant Vice President for Faculty Affairs*
J.D., University of Mississippi School of Law

Agnes DeFranco, *Associate Vice President for Undergraduate Studies*
Ed.D., University of Houston

Je'Anna Abbott, *Ombudsperson*
M.H.M., University of Houston

Joan Nelson, *Executive Director for Human Resources*
B.S., University of Maryland

Malcolm C. Davis, *Assistant Vice President for Public Safety/Chief of Police*
M.S., University of Houston

Kathryn E. Peek, *Assistant Vice President for University Health Initiatives*
Ph.D., University of Texas Health Science Center

E. Craig Ness, *Assistant Vice President of Academic Operations*
M.B.A., University of Houston

The University of Houston: An Introduction

The University was founded in 1927 by the Houston Independent School District Board of Education with its approval to utilize facilities within the district. The new junior college opened with 250 students and 8 faculty members offering classes at San Jacinto High School.

By 1934, there was increasing pressure within the City of Houston to have its own four year university. This was launched, in 1934, with an enrollment of almost 1,000 students as an independent, self-supporting institution. By 1939, thanks to two large philanthropic gifts and a federal grant from the Public Works Administration, classes were moved to the new campus. Enrollment exceeded 2,110 students. This same year, the first graduate courses were offered.

By 1956, the University had its own formal Board of Governors. The University formally became a State university in 1963. Today, the University of Houston is the research component of the UH System and the only campus authorized to award the doctoral degree and the advanced professional degrees in law, optometry, pharmacy, and social work. It is the home of the M.D. Anderson Library, the research library which serves all components of the UH System.

A few institutional characteristics worth noting as of September 1, 2010, include:

- **Faculty:** There are 3,386 faculty members, of which 936 are ranked. The ethnic breakdown of ranked faculty is African American, 3.7%; Asian, 15.9 %; Hispanic, 6.3 %; International, 3.6 %; Native American 0.3%, and White, 70.7 %. The gender breakdown is male, 73 %, and female, 27 %.
- **Students:** The fall 2010 enrollment was 38,752. Of these, 29,378 (75.8 %) were classified as undergraduates, 8,064 (20.8%) as graduate/professional students, and 1,310 (3.4 %) as post baccalaureate. The ethnic breakdown was African American, 12.6 %; Asian, 19.5 %; Hawaiian/Pacific Islander, 0.3%; Hispanic, 22.3 %; International, 8.5 %; Native American 0.3%, White, 34.1 %, two or more races, 1.6%; and Unknown 0.8 %. The gender breakdown was male, 49.9 %, and female, 50.1 %. Most students came from Harris County (57.2 %) and from Texas (88.9 %). As of September 1, 2010 there were 3,674 students (9.5 %) in residence at the University of Houston.
- **Staff:** There are 4,689 full-time staff members. The ethnic breakdown is African American, 18.1%; Asian, 14.5%; Hispanic, 17.5%; Native American, 0.2%; Hawaiian/Pacific Islander, 0.1%; and White, 49.5%. The gender breakdown is male, 47.7% and female, 52.3%.
- **Academic Programs:** There are 13 colleges, all degree awarding except the Honors College. There are 300 degree programs. Four (Law, Optometry, Pharmacy, and Social Work) offer only graduate/professional degrees.
- **Degrees Awarded:** In 2009-2010, a total of 7,230 degrees were awarded as:

Baccalaureate	4,778	Special Professional (Law/Optometry)	497
Masters	1,722	Doctorate	233

The University of Houston, with strong national and international foci, continues to serve students from Houston and the State of Texas. As the largest public university in Southeast Texas and the only urban research university in the state, the University seeks to fulfill the universal goals of higher education while maintaining a focus on its specific city and state.

The University of Houston is accredited by the Commission on Colleges, Southern Association of Colleges and Schools, as a Level VI General postsecondary institution. For information on the accreditation status of the university, contact:

Commission on Colleges
Southern Association of Colleges and Schools
1866 Southern Lane, Decatur, Georgia 30033-4097
(404) 679-4500

or visit their website at <http://www.sacscoc.org>.

For more detailed information, visit the website of the UH Office of Institutional Research at <http://www.uh.edu/ir/> or the UH Division of Finance's website on Statutorily Required Reports at http://www.uh.edu/finance/StateReport/state_report1.html

Office of Equal Opportunity Services

Equal Opportunity Policy

The University of Houston is committed to providing equality of treatment and opportunity in an environment that appreciates and respects the diversity of the community it serves. University policy prohibits discrimination and/or harassment in employment and educational services based on race, color, religion, national origin, sex (including sexual harassment and pregnancy), age, disability, veteran status, or sexual orientation, except where such distinction is required by law and promotes the full realization of equal opportunity through an affirmative action program. Discrimination against any individual based on any of these protected classifications with regard to recruitment, appointment, benefits, training, promotion, retention, discipline, termination or any other aspect of the terms, conditions and/or privileges of employment or educational services is prohibited.

Inquiries and/or complaints regarding the University's affirmative action/equal opportunity policies may be directed to the Office of Equal Opportunity Services, which houses the University's designated Title IX Coordinator, ADA Coordinator, Section 504 Coordinator, Title VI Coordinator, Texas Educational Opportunity Plan Coordinator, and the Equal Employment and Education Opportunity Compliance Officer.

The following is the official University of Houston *Equal Educational and Employment Opportunity Non-discrimination* statement and should be used in all University publications:

Statement of Non-discrimination

The University of Houston provides equal treatment and opportunity to all persons without regard to race, color, religion, national origin, sex, age, disability, veteran status or sexual orientation except where such distinction is required by law.

Note regarding transgender status:

A federal district court in Houston, *Lopez v. River Oaks Imaging & Diagnostic Group*, 542 F. Supp. 2d 653 (S.D. Tex. 2008) has recognized that a transgendered individual, had a legally viable claim of sex discrimination under Title VII based on sex stereotyping. Although transgendered individuals are not specifically identified as a protected class under Title VII, the court explained that any employee (including a transgendered individual) is protected if they can demonstrate that they were discriminated against because they do not conform to traditional sex stereotypes. This case provides a good analysis of the protections offered to our campus community, including those who are transgendered, through our non-discrimination statement.

For the policy on Title IX Grievances and Other Discriminatory Complaints, visit the Office of Equal Opportunity Services website at <http://www.uh.edu/legal-affairs/affirmative-action/index.php>.

Sexual Harassment

The University of Houston is committed to providing a professional working and learning environment free from sexual harassment. Sexual harassment is a form of sex discrimination and is illegal. Sexual harassment often exploits a relationship between individuals of unequal power and authority (for example, between an employee and supervisor or between a student

and teacher), but may also occur between student peers or employees of equal rank. At a university, sexual harassment also constitutes unprofessional conduct which compromises the university's commitment to the integrity of the learning process.

The University of Houston will not tolerate any form of sexual harassment. The University is prepared to take preventive and corrective action in the case of sexual harassment; any individual who engages in such misconduct and/or retaliation will be subject to appropriate disciplinary action, up to and including termination of employment, the removal of tenure and/or expulsion from the University. Furthermore, this institution is committed to providing training to educate the staff, faculty, and students about these policies and procedures.

For more information or the complete detailed Sexual Harassment Policy, contact the Office of Equal Opportunity Services, 713-743-8835, eosinfo@uh.edu, or visit its website at <http://www.uh.edu/legal-affairs/affirmative-action/index.php>.

Sexual Assault

Sexual assault is a non-consensual sexual act involving force, manipulation or coercion; it is an act of aggression, violence and power. The perpetrator can be a stranger, relative, acquaintance or date. The University of Houston is committed to providing a working and learning environment free from sexual assault. A sexual assault is an illegal criminal act, which can devastate victims physically, violate their sense of safety and trust, and interfere with personal and educational goals; as such, it can damage the atmosphere for the entire university community. Sexual assault is a serious and flagrant violation of the University rules of conduct for faculty, staff and students, and will not be tolerated. The University will vigorously investigate all allegations of sexual assault; it will treat victims with respect, make their legal rights and options clear, and fully cooperate with them in their exercising those rights. The University will continue to sponsor programs to educate faculty, staff and students about sexual assault, myths, prevention, treatment services, legal remedies, date rape and other forms of sexual misconduct. Procedures protecting the rights of sexual assault victims and those accused of sexual assault have been established, are readily available, and will be enforced rigorously.

Individuals who believe they are a victim of a sexual assault should immediately contact the University of Houston Police Department by calling 911.

For more information or the complete detailed Sexual Assault Policy, contact the Office of Equal Opportunity Services, 713-743-8835, eosinfo@uh.edu, or visit its website at <http://www.uh.edu/legal-affairs/affirmative-action/index.php>.

Accommodation for Faculty

It is the policy of the University that all qualified employees with disabilities are afforded equal employment opportunity in compliance with federal and state laws. The University, in keeping with its values and goals, provides reasonable workplace accommodations to employees with disabilities.

In order to request a workplace accommodation, the employee must contact the University's ADA Coordinator in the Office of Equal Opportunity Services. The ADA Coordinator can be reached by telephone at (713) 743-8835, by e-mail at aaeco@uh.edu, or by visiting 153 Student Service Center 2.

To begin the process, the employee must obtain and thereafter complete a **Request for Workplace Accommodation** form and then submit a copy of the completed form to his/her supervisor and the original of the completed form to the ADA Coordinator. The complete University procedure to be followed is delineated in MAPP 02.07.02.

Employees who have been granted a reasonable workplace accommodation must maintain the University's standards of performance, attendance and conduct as specified by the accommodated employee's department or unit.

For the policy on Reasonable Workplace Accommodation for Employees with Disabilities, see MAPP 02.07.02 online at <http://www.uh.edu/af/universityservices/policies/mapp/02/020702.pdf>.

Reporting/Investigating Fraudulent Acts

(System Administrative Memorandum 01.C.04)

When suspected fraudulent activities are observed by an employee (including a student employee), the employee must immediately make a report to the proper authority as follows:

- If the employee wishes to make an anonymous report, he/she may contact the State Auditor's Office (SAO) Hotline at 1-800-TX-AUDIT (1-800-891-8348). Anonymous reports can also be made via the web at <http://www.mysafecampus.com> or by calling 1-800-716-9007.
- If the employee does not wish to remain anonymous, the employee should notify his/her supervisor, the Chief Audit Executive or the CEO (or designee). If the suspect is a senior manager, administrator or executive, the employee should notify the Chief Audit Executive.
- If the employee notifies his/her supervisor (or higher authority), the supervisor (or higher authority) must immediately direct the report to the CEO (or designee) or the Chief Audit Executive.

The reporting employee will refrain from further examination of the incident, confrontation of the alleged violator, or further discussion of the incident with anyone other than the reporting employee's supervisor, the CEO (or designee) or the Chief Audit Executive and/or law enforcement.

MySafeCampus

In addition or as an alternative to the above reporting procedures, the University uses the MySafeCampus program, an online and/or telephone hotline, for university employees to report fraud and non-compliance with external rules and regulations, including harassment, theft, substance abuse, unsafe conditions, and more. The hotline is open 24-hours a day, seven days a week. Individuals who use My Safe Campus may choose to remain anonymous. To report fraud or non-compliance, call 1-800-716-9007 or go to <http://www.mysafecampus.com>.

Protection for Whistleblowers

The law known as the "Whistleblower Act" prohibits retaliation against public employees who report official wrongdoing. The act states that "a state or local governmental entity may not suspend or terminate the employment of, or take other adverse personnel action against, a public

employee who in good faith reports a violation of law by the employing governmental entity or another public employee to an appropriate law enforcement authority.” (Tex. Gov’t Code Ann. §554.002(a) (Vernon 1995).

In the event that a faculty member believes they are being retaliated against for reporting, in good faith, the unlawful acts and/or practices by a state employee, s/he should report such acts to the appropriate administrative superior.

For more information, contact the Office of Equal Opportunity Services 713-743-8835, eosinfo@uh.edu, or visit the website at <http://www.uh.edu/legal-affairs/affirmative-action/index.php>

Responsibility for enforcing the policies and procedures in this *Faculty Handbook*, unless otherwise stated, belongs to the President of the University.

Ombudsperson

The Ombudsperson is a neutral and impartial University of Houston employee whose major responsibility is to act as a resource for University faculty and staff members regarding issues and concerns related to their employment with the University.

As a neutral and impartial University employee, the Ombudsperson is not an advocate for any individual or the University, but rather, is an informational source for faculty and staff members. The Ombudsperson will assist faculty and staff members in accessing and interpreting University policies and procedures, including those of specific colleges and departments. The Ombudsperson will aid in answering faculty and staff members’ questions and concerns, and outline available options for the resolution of their concerns or complaints (grievances) that are available to them.

When appropriate, and upon request by the aggrieved faculty or staff member, the Ombudsperson may assist as a neutral third party in the resolution of faculty or staff concerns or complaints. When agreed upon by all parties involved in a dispute, the Ombudsperson will organize and facilitate a meeting and discussion between the parties and act as a neutral person to assist the parties in coming to a resolution of the issue without the need to proceed with the informal or formal grievance processes. The Ombudsperson will not impose his or her own judgment of the issues for that of the parties and will keep all matters confidential to the extent allowed by law.

The Ombudsperson will not participate in the formal grievance process, engage in administrative decisions, provide legal advice, or determine the merits of a faculty or staff member’s grievance.

The Ombudsperson will periodically review the patterns of grievances, and will provide appropriate suggestions and recommendations to the President and Provost with regard to University policies and procedures that could reduce or eliminate recurring grievances, or enhance the efficiency of the grievance process.

The Ombudsperson may be contacted by calling 713-743-2417 or e-mail at ombudsperson@uh.edu. Visit the website at <http://www.uh.edu/ombuds/>.

Shared Governance

The faculty governance structure provides the framework for an active partnership between faculty and administration in formulating recommendations and policies affecting the academic community. It is composed of the Faculty Senate, councils, and standing committees. The governance structure establishes forums for internal discussion, proposes policies touching on faculty concerns, gathers and disseminates information of interest to the faculty, and provides a faculty voice to the external community. Staff support is provided by the administration to the Faculty Senate and the councils by the Provost, and to the standing committees by the senior administrator to whom they report.

Faculty Senate

The members of the Faculty Senate are elected by the faculty members of their respective colleges according to their bylaws. The Faculty Senate operates under its own constitution. The Faculty Senate considers and makes recommendations to the President of the University of Houston and other senior administrators on matters of interest to the entire faculty. The Provost, as the University's chief academic officer, or his/her designees attends regular meetings of the Senate.

On April 20, 2011 the Faculty Senate voted to unify with the Research Council and Undergraduate Council, each of which had also voted in favor of unification previously. In this new arrangement, the two councils become major components of the Senate, but continue to operate under their own bylaws, which are pending revision.

Research and Scholarship Committee

[Note: The Research Council and Faculty Senate unified in the Spring of 2011. The revision of bylaws is pending.]

The Research Council is responsible for advising and making recommendations to the Vice President for Research on the matters pertaining to research development and related research activities at the University.

The Research Council's specific responsibilities include:

The Internal Grants Program: Structure the program each year in light of available resources, prepare and issue the call for proposals, coordinate review of proposals, and make recommendations on the allocation of the funds to the Vice President for Research.

The Research Excellence Award: Establish guidelines, issue request for nominations, and oversee the activity of the selection committee and make recommendations of awards to the Vice President for Research.

Provide recommendations to the Vice President for Research that affect research development and the policies relating to the conduct of research at the University.

Representation on Research Council: The Research Council shall consist of a fixed distribution of members representing tenure-line faculty from degree-granting units, research faculty, Centers and Institutes, students, and research administrators on campus. The by-laws will be reviewed at least every five years for changes in the College representation specified in the Council's bylaws which are available in *Appendix D on pages 224-227* or visit its website at <http://www.research.uh.edu/Home/RSC.aspx>.

Undergraduate Committee

[Note: The Undergraduate Council and Faculty Senate unified in the Spring of 2011. The revision of bylaws is pending.]

The Undergraduate Council is the academic governance committee charged with the responsibility of advising and making recommendations to the Office of the Provost about the qualitative development of programs and activities that have an impact on undergraduate education at the University of Houston.

Specifically, the Undergraduate Council works with the Executive Associate Vice President for Academic and Faculty Affairs who is primarily responsible for undergraduate studies in advising the Provost on matters pertaining to the:

- A. Assessment and strengthening of undergraduate academic programs and curriculum offerings;
- B. Setting of standards and priorities leading to academic excellence;
- C. Monitoring of college and departmental requirements for baccalaureate degrees;
- D. Stimulation and assessment of excellence in teaching;
- E. Development and implementation of strategies for the recruitment and retention of undergraduate students;
- F. Implementation of crucial recommendations from any university-level study and its impact on the undergraduate student;
- G. Refinement and monitoring of the admissions criteria and process, particularly for target populations; and
- H. Any other matters pertaining to or having an impact on undergraduate education.

Faculty members are elected to the Undergraduate Council by their respective college according to existing bylaws for a three-year term. The number of representatives from any one college is based on the SCH (semester credit hour) enrollment of undergraduate students. The student body shall be represented by three undergraduate students appointed by the appropriate college committee on an annual rotating basis according to the following system of apportionment: one from Liberal Arts and Social Sciences; one from Business or Natural Sciences and Mathematics; and one from Architecture, Engineering, Education, Hotel and Restaurant Management, Pharmacy, or Technology. Administrative representatives and a representative of the Faculty Senate serve *ex officio*.

The Undergraduate Council is governed by a set of procedural bylaws. They are available in *Appendix C on pages 218-223* or visit the website at <http://www.uh.edu/undergradatecouncil/>.

University Councils and Standing Committees

Definition

Each University council or standing committee has a specific charge; meets on a regular, ongoing basis over a period of more than one year; and has as its appointing officer an administrator at the level of Vice President or higher. Councils and Standing Committees are advisory to their appointing officer. Each council operates under its own bylaws.

Procedure

- A. Each council or committee shall elect its chair annually (from its membership), and that individual shall be a student, staff, faculty member or librarian below the rank of dean. Each committee and council shall elect its chair for the coming year at the last meeting of the current academic year.
- B. No council or committee member shall have a designate serving in his/her place unless approved by the committee and also by the appropriate nominating body.
- C. Council and committee chairs shall make every effort to schedule committee meetings at times when all members can attend. Written notices of scheduled meetings shall be circulated to all committee members, the Faculty Senate, the Staff Council, the Student Government Association, and the appropriate University offices as far in advance of the meeting as possible.
- D. At the first meeting of the year, each council or committee shall be given a statement of its duties, responsibilities, and issues for consideration.
- E. Each council and committee shall submit in writing formal actions such as policy recommendations and decisions. They shall be distributed to the deans, the President of the Faculty Senate, the President of the Staff Council, the President of the Student Government Association, and the appropriate administrative offices.
- F. Each council or standing committee is required to prepare an annual written report at the end of each academic year. This report shall be sent by the committee chair to the Faculty Senate, the Staff Council, the Student Government Association, the Office of the President, the Office of the Provost and other relevant University administrators. This report shall include the following: major activities and recommendations of the committee during the year, an indication of how much faculty input was involved for each, and the outcome.
- G. There should be regular contact between the council or committee chairs and their related University offices in order to communicate recommendations and specific actions under consideration.
- H. Councils or standing committees shall meet at least twice a semester.
- I. Extended or regular absences of a council or committee member shall be communicated by the chair to the appropriate nominating body. The latter and/or the chair will ask such members to resign and communicate that request to appropriate campus offices. Replacement members shall be nominated and appointed in accordance with the usual procedures.
- J. The authority to alter the composition or charge of a council or committee rests with the appointing officer of the University. Any such changes must be preceded by consultation among the members of the committee involved, the appointing official, and the Faculty Governance Committee of the Faculty Senate.
- K. To create a standing committee, a recommendation is brought to the Faculty Governance Committee of the Faculty Senate that includes: the proposed name of the committee and the administrator/s to be involved; the proposed composition of the body; a solid indication of scope – e.g., both a general statement and some examples; and a recommended charge, including the main point/s or purpose of the committee. The Faculty Governance Committee will consult with the appointing officer to discuss the recommendations and formalize the details.

Councils

Councils at the University of Houston have representation from both the academic and administrative communities. The councils are generally responsible for developing specific policies relevant to the area of their concern.

Graduate and Professional Studies Council

The Graduate and Professional Studies Council advises the Provost and President on all matters pertaining to graduate students and graduate programs. In particular, the Council examines proposals submitted by colleges and other academic units and recommends action concerning the admission and selection of graduate and professional students, including international graduate students; the development and assessment of graduate and professional programs together with criteria for admission, standards of instruction, and standards for graduation aimed at excellence; the review and advice on programs and courses in graduate and professional curricula; and other matters identified by the Provost or of interest to the administration, the faculty, and graduate and professional students.

See Appendix B, pages 214-217, for the bylaws of the Graduate and Professional Studies Council.

Standing Committees

Committees are charged with specific tasks by the senior administrator to whom they report. With the exception of the Grievance Committee, which is elected by the faculty through university-wide balloting, all faculty members are nominated by the Faculty Senate Faculty Governance Committee and appointed by the President or the Vice President in whose area the committee falls.

For charges to standing committees, please consult the offices to which they report.

Office of the President

Athletics Advisory Committee
Sexual Harassment/Sexual Assault Board
Title IX Grievance Committee
University of Houston Art Acquisition Committee

Office of the Senior Vice President for Academic Affairs and Provost

Grievance Committee
Health Professions Advisory Committee
International Students Advisory Board
Library Committee
Promotion and Tenure Committee
Teaching Excellence Awards Selection Committee
Undergraduate Admissions Review Committee

Office of the Executive Vice President for Administration and Finance

Bookstore Advisory Committee
Food Services Advisory Committee
Human Resources - Fringe Benefits Committee
Information Technology and Computing Committee - inactive

Purchasing and Plant Operations Committee
Safety and Security Advisory Committee
Transportation and Parking Advisory Board
University Traffic Court

Office of the Vice President for Research and Technology Transfer

UH System Intellectual Property Committee (UH System)
(<http://www.research.uh.edu/Home/Division-of-Research/Intellectual-Property/Standing-Committee.aspx>)

Office of the Vice President for Student Affairs

A. D. Bruce Religion Center Policy Board
Campus Recreation Advisory Committee
Child Care Center Advisory Board
Health Center Policy Board
Housing Committee
Student Fees Advisory Committee
Student Publications Committee
University Center Policy Board
University Hearing Board

Office of the Vice President for Community Relations and Institutional Access

Center for Students with DisABILITIES Advisory Board

Other Governance Bodies

Board of Regents

The Board of Regents is the governing body of the University of Houston System (University of Houston, University of Houston-Clear Lake, University of Houston-Downtown, University of Houston-Victoria, UH System at Cinco Ranch, UH System at Sugar Land, KUHT Television, and KUHF Radio). Appointed by the Governor of Texas, the ten members (chair, vice chair, secretary, and six members) serve for six years. The student regent serves on the board for a one-year term but does not have voting authority.

Board responsibilities include: preserving institutional independence and defending each UH System component university's right to manage its own affairs through its chosen administrators and employees; enhancing each university's public image; interpreting the community to each of the universities and the universities to the community; nurturing each university so that each may achieve its full potential within its role and mission; and providing policy direction, insisting on clarity of focus and mission, to each of the universities.

Additional responsibilities of the Board of Regents are listed in its bylaws available at <http://www.uhsa.uh.edu/board-of-regents/bylaws/>

University of Houston Alumni Association

The University of Houston Alumni Association (UHAA) is an independently administered non-profit dedicated to connecting alumni, faculty, staff, students, to the University of Houston and to each other. With over 18,000 members, UHAA is governed by a 20-member board of directors.

UHAA fulfills its mission of serving and supporting the University and its alumni in a variety of meaningful ways, including providing student scholarships, legislative advocacy efforts, faculty/staff awards, athletic support, print and electronic communications, and a broad network of college-based, area-based, and special interest constituent groups. One of UHAA's constituent groups is CampusCougars, a group of alumni (and others who wish to support the alumni association) who work on campus and participate in regular get-togethers and volunteer projects. Another group, the Student Alumni Connection (SAC), connects 1,700 current students with faculty and alumni, helping them to successfully navigate through the university system and network in relevant professional circles. UHAA fulfills its mission of serving and supporting the University and its alumni in a variety of meaningful ways, including legislative and community advocacy, academic and athletic support, scholarships, faculty awards, and alumni events and communications.

Faculty members are always encouraged to get involved in any UHAA programs, and of course, to join the Association as well. More information is available at <http://www.myCougarConnection.com/>.

Staff Council

Staff Council, the elected shared governance body for University of Houston staff, works hard to represent and promote the interests of staff, to improve the campus community, and make staff contributions to the campus community more visible. Among its many accomplishments, Staff Council organizes the annual Cougar First Impressions, a two-day event to welcome students to the campus each fall; a Sock and Blanket Drive to benefit local charities; and the Spring Egg Hunt to entertain the children of UH faculty and staff.

More information is available at <http://www.uh.edu/sc>. The Staff Handbook may be found at <http://www.uh.edu/admin/hr/HRFORMS/staffhandbook.pdf>.

Student Government Association

The Student Government Association (SGA) is the student organization elected by the students to represent the University of Houston student body. As such, SGA is committed to understanding the needs of students and to ensuring their future at the University of Houston is bright.

Through continuous interaction among students, faculty, and administration, the University of Houston Student Government Association helps to ensure that a positive university experience is maintained for all parties concerned. In addition, SGA influences the University's decision-making process by serving as a liaison between the students and governing bodies such as the UH administration, UH system regents, and the Texas State Legislature.

More information is available at <http://sga.uh.edu/>. The Student Handbook may be found at <http://www.uh.edu/dos/publications/handbook.php>.

University Commission on Women

The University Commission on Women combined two older bodies, the long-standing Committee on the Status of Women and the Presidential Commission on Women created in 2000 to examine the campus climate towards women. Officially created on May 13, 2003, the current University Commission on Women reports to the president of the University of Houston and is charged with the responsibility of informing and advising the president and the senior administrative leadership

as well as the general university community on issues and concerns that have an impact on women at the University of Houston. The commission works in consultation with the senior administration, deans, academic department chairs, and administrative department and program managers as well as the Staff Council, Student Government Association, and Faculty Senate.

More information is available at <http://www.uh.edu/ucw/>. The Women's Resource Center website may be found at <http://www.uh.edu/wrc/>.

University Coordinating Commission

The University Coordinating Commission (UCC) has been created to coordinate and expedite communications among faculty, staff, students, and the University's administration in regard to the processes involved with policy and procedures development at the University of Houston.

The UCC will not create policy, but rather will serve to facilitate discussion amongst existing policy-forming groups. The UCC will seek to foster stronger connections between all governance groups; facilitate needed input into the development of policies and procedures; and help to broaden campus governance, making it a more transparent process to all potentially-affected parties.

More information is available at <http://www.uh.edu/ucc/>

Advisory Committees to the Executive Vice President for Administration and Finance

Building Coordinator Advisory Committee
Capital Planning and Renewal Committee
UH Master Planning Committee
UHS Housing Initiative Committee

Decision-making Cycle

Wherever possible, newly approved policies and procedures shall be implemented at the start of the academic year, using August 1 as the effective start date. Proposed new policies and procedures or proposed changes to existing policies and procedures normally shall be reviewed and discussed with a cutoff date of May 31 for approval. If the necessity arises for implementation of a policy during the off-cycle, such implementation should be justified to the affected constituencies as an emergency policy by the decision-maker.

College and Department Bylaws

Each college and department should have a set of approved bylaws that at a minimum contain:

- definitions of the various classes of benefits eligible faculty members;
- rules regarding the voting rights for each class of faculty members such as hiring, retention, promotion, curricular revisions, and other faculty matters;
- rules regarding the participation of each class of faculty member on committees and task forces;
- procedures for the selection, tenure, review, and retention of department chairs (See http://www.uh.edu/provost/fac/Policy_chairs.html) and deans;
- rules regarding the timing of and criteria for calling regular faculty meetings;

the selection process, composition, responsibilities, and list of departmental and college standing committees;

the faculty role in promotion, tenure, and post-tenure review;

the criteria and procedures for promotion and tenure;

the procedures for adjudicating faculty and staff grievances;

procedures for identifying faculty roles in the determination of planning and budgets for departments and colleges;

procedures to determine and specify selection for membership on governance groups at the department, college, and university levels;

procedures by which bylaws would be reviewed and amended;

a statement that faculty are responsible for developing the curriculum and determining its effectiveness within each department and college;

a statement that faculty identify the standards for student admissions, grading, and candidacy for graduate and undergraduate study;

delineation of faculty responsibilities in the areas of work load and space allocation;

delineation for opportunities of leadership development among faculty administrators, chairs and potential faculty administrators; and

accreditation for professional schools and colleges beyond SACS should involve the broadest cross section of faculty in the process.

College and department bylaws should be available online for accessibility.

University Policies and Procedures

Definition

A policy is a statement of principles and values that guide institutional activities. Effective policies are flexible, coordinated, comprehensive, ethical, and clear. A procedure is a defined course of established methods used to achieve an objective. To achieve their goals, units within the university establish policies and procedures, many of which affect faculty.

This section clarifies the types of policies governing faculty roles at the University of Houston. It also describes procedures for amending the policies should they not meet the characteristics of effective policies described elsewhere in this handbook.

Administrative Policies

Administrative policies may be proposed by any individual or unit on campus and are approved by the Executive Vice President for Administration and Finance, who is responsible for seeking the President's approval. Frequently, Administrative Policies are developed in response to a State of Texas law or legal opinion. Administrative Policies are published in the University of Houston Manual of Administrative Policies and Procedures (MAPP) available online at <http://www.uh.edu/af/universityservices/policies/mapp/index.htm>. Procedures for amending the MAPP are described in MAPP 01.01.01. Faculty travel, payment of human subjects, and consulting are examples of Administrative Policies that relate to faculty roles and are summarized in the *Faculty Handbook*.

Academic Policies

Because of their academic role, policies related to faculty roles such as hiring, workload, evaluation, and promotion, are considered Academic Policies at the University of Houston. Such policies are frequently reviewed by faculty governance bodies and the Provost's Office to assure due process and academic excellence. The Provost is responsible for all academic policies on campus and, therefore, makes the final decision on all university-wide academic policies before seeking the President's approval.

Amending Policies Regarding Faculty Roles

Any member of the University of Houston community may suggest a change in Academic Policies on Faculty Roles. Because of its leadership position, the Faculty Senate frequently recommends policy changes to the Provost. The Grievance and Promotion and Tenure Committees also recommend changes when the lack of policies or their unintended consequences impinge on faculty rights or due process. At times the Provost may establish a Task Force or assign a staff member to study an issue and make policy recommendations.

To be included in the *Faculty Handbook*, the Provost will review proposed policies or amendments, revise the recommendations, if necessary, and forward them to the Handbook Committee. The policies will be reviewed by the faculty governance bodies represented by the Handbook Committee members. (Please see section Guidelines for Revision of the *Faculty Handbook*, page 202). Should the faculty committees suggest substantive changes; the Provost will review those recommendations before submitting the final policy to the President for approval. After consultation with the appropriate faculty governance bodies, the Provost may also establish policies to meet a specific need. The Provost will distribute new and amended policies to the faculty through the deans. The policy will appear in the Handbook as approved by the President.

Academic Personnel Policies and Procedures

Academic Freedom

(UHS Board of Regents policy 21.03)

To establish and clarify the rights and responsibilities of the faculty pursuant to academic freedom, the University of Houston System Board of Regents adopts the following policy:

- A. The faculty member is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of the faculty member's other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the component university.
- B. The faculty member is entitled to freedom in the classroom in discussing the subject matter, but the faculty member should be careful not to introduce into the teaching controversial matter which has no close relation to the subject.
- C. The faculty member is a citizen, a member of a learned profession, and an officer of an educational institution. When speaking or writing as a citizen, the faculty member shall be free from institutional censorship or discipline, but the faculty member's special position in the community imposes special obligations. As a person of learning and an educational officer, the faculty member should remember that the public may judge the profession and the institution by the faculty member's utterances. Hence, the faculty member should at all times strive for accuracy, exercise appropriate restraint, show respect for the opinions of others, and make every effort to indicate that the faculty member is not speaking for the institution.

Expectations of Faculty with Teaching Responsibilities

Faculty should be prompt in meeting their classes as scheduled, be available at designated times for appointments with students and keep such appointments, be well prepared for classes and other meetings, and perform grading duties fairly and promptly. Final examinations will only be given during finals week or as otherwise scheduled by the Registrar.

The general content of a course or academic program should be described with reasonable accuracy in catalogs and other written documents available to students. The content, objectives, and standards for evaluation (including the importance assigned to various factors considered in the academic evaluation) in a course should be stated in writing and given to the students at the first or second class meeting. All academic evaluations should be based on professional judgment, consistent with relevant standards of the profession, with achievement being compared with goals, objectives, and other factors as may have been previously communicated in writing by the faculty member.

The limits of assistance permitted between and among students in a course assignment or academic evaluation should be stated in writing by the faculty member with reasonable clarity and specificity at the first or second class meeting or in advance of an assignment or academic evaluation.

Factors such as race, color, religion, sex, age, national origin, disability, veteran status, sexual orientation, political affiliation, and activities or personal relationships otherwise unrelated to the class or course structure may not be considered in matters of academic evaluation, academic assignments, or classroom procedures.

Sexual harassment of students is prohibited. For more information see Sexual Harassment, pages 28-29.

Faculty Appointments

Definitions

As mandated by Board policy 21.06, the University of Houston has established the following definitions and conditions:

- A. **Appointment** is defined as the employment of an individual in a given capacity for a specified time period at a stated salary. Faculty appointments are made following procedures that have been developed at the university and approved by the Chancellor/President. All faculty appointments are subject to the final approval of the Chancellor/President and the Board of Regents upon the recommendation of the Provost. Prior approval of the Chancellor/President is required before any faculty appointment with tenure can be made. In addition, no person shall be appointed to the position of Dean or its equivalent or Vice President or its equivalent without prior consultation with the Chancellor/President.
- B. **Term:** Appointments begin on or about one week prior to the beginning of the fall semester and end within one week of spring commencement or as otherwise defined in the appointment letter.
- C. **Designations of Faculty Positions/Titles:**
 1. **Tenure Track Positions:** For all universities in the University of Houston System, the following ranks are considered part of the tenure track: instructor (except as noted below), assistant professor, associate professor, and professor.
 - a. **Instructor** is normally a tenure track position; in special circumstances the Chancellor/President may waive the inclusion of an instructor in tenure track status, by written mutual consent.
 - b. **Assistant professor** is normally a probationary rank although in special cases, the Chancellor/President may request that tenure be awarded to an assistant professor.
 - c. **Associate professors** may be appointed with tenure or, alternatively, may be required to serve a probationary period not to exceed four years before tenure is awarded.
 - d. **Professors** are usually appointed with tenure, but may be required to serve a probationary period not to exceed four years, which shall be stated in the appointment letter.
 2. **Non-tenure Track Positions:** The University of Houston may choose to utilize other faculty titles to convey certain meanings specific to the University. All such titles must be filed with the Office of the Provost.

The several designations used at the University of Houston are listed and defined below:

- a. **Lecturer:** The term "lecturer" designates persons assigned to teach one or more specific courses. Appointment is for a semester or an academic year, although a shorter appointment is possible under unusual circumstances.
- b. **Instructor:** Normally, a full-time position.
- c. **Adjunct Faculty:** The adjunct faculty will consist of members with the following titles: adjunct assistant professor, adjunct associate professor, and adjunct professor. The term "adjunct" is used for persons who have a primary employment responsibility

outside the university or in a different department in the university, and who bring some specific professional expertise to the academic program.

- d. **Visiting Faculty:** The visiting faculty will consist of members with the following titles: visiting assistant professor, visiting associate professor, and visiting professor. The term "visiting" is used for persons who assume a teaching responsibility at the University of Houston for a specified period. Visiting faculty are usually appointed for either a semester or an academic year. This designation, on an exceptional basis, may be used for persons who do not yet hold the terminal degree and who may be assigned to a tenure track position upon receipt of the terminal degree.
- e. **Research Faculty:** The research faculty will consist of members with the following titles: research assistant professor, research associate professor, research professor, research scientist, and senior research scientist. Individuals at the research assistant, associate, and professor levels will have research experience and prestige comparable to that of tenure track faculty members at the equivalent level. Research scientists should have similar qualifications with the exception that their experience and responsibilities may have been focused on the use of advanced instrumentation or technology. Research faculty are typically externally funded and will not be paid from the state budget.
- f. **Clinical Faculty:** Clinical faculty appointments are non-tenure track appointments which may be assigned the ranks clinical instructor, clinical assistant professor, clinical associate professor, and clinical professor. Such appointments are outside the University of Houston tenure system and are governed by policies of the respective colleges which must be approved by the Senior Vice President for Academic Affairs.
- g. **Instructional Faculty:** Instructional faculty appointments are non-tenure track appointments which may be assigned the ranks instructional assistant professor, instructional associate professor, and instructional professor. Such appointments are outside the University of Houston tenure system and are governed by policies of the respective colleges which must be approved by the Senior Vice President for Academic Affairs. Instructional faculty may be expected to teach distance education courses either face-to-face or at off-campus sites, using instructional technology or instructional TV.
- h. **Part-time Faculty:** A part-time faculty member is one who is employed less than full-time and who does not hold a tenured or tenure track appointment. The possibility of reappointment is contingent upon the required approvals, the availability of funding, satisfactory annual review by the department or college, and a continued need for the position within the department or college.

Credentials of those given adjunct and visiting appointments must conform to those criteria applied to regular faculty appointments. Instructional time served as a lecturer or as adjunct, clinical, research or visiting faculty does not count toward tenure. Such appointments are subject to annual review, and determination of whether continuation is recommended.

The faculty status of persons who are not holders of standard faculty titles listed above, either tenured or tenure track, shall be determined in accordance with college by-laws. Such by-laws must conform to University of Houston policy, must be approved by the Senior Vice President for Academic Affairs and must be filed in the Office of the Provost.

3. **Joint Appointments:** When a faculty member holds a joint appointment in two or more academic units at the University, it must be clearly indicated at the time of the appointment in which academic unit the faculty member holds tenure or is on the tenure track and which, therefore, shall bear the primary responsibility for evaluation and recommendation. In such cases the appointment letter must also stipulate the division of responsibility and the weight assigned to such responsibilities in the review for tenure, promotion, and merit salary increases.
- D. **Separation** is defined as the process by which an individual's employment with the university is terminated. Three distinct modes of separation other than retirement are recognized:
1. **Resignation** is voluntary termination of employment by an employee. The Chancellor/President may accept resignations and shall so inform the Board of Regents.
 2. **Non-reappointment** refers to a situation in which a non-tenured faculty member is not offered the next successive appointment at the end of a stated employment period.
For more information, see Non-renewal of Appointment of a Tenure Track Faculty Member, pages 65-66.
 3. **Dismissal** is severance from employment due to adequate cause, financial exigency, medical reasons, or the discontinuance of academic programs. Dismissal shall not be used to restrain faculty members in their exercise of academic freedom. When dismissal involves a tenured faculty member, consultation with the Chancellor/President and University Legal Counsel shall be made prior to any official action. Subject to final approval by the Board of Regents, the Chancellor/President has the authority to dismiss faculty upon the recommendation of the Provost after full and appropriate university due process. Such action is subject to final acceptance by the Board of Regents
For reasons for dismissal, see pages 76-78.
- E. **Tenure** is defined as the right to continuous employment. It is awarded by the Chancellor/President based upon the authority delegated by the Board of Regents and upon the recommendation of the Provost after the appropriate review processes have been followed. Tenure is awarded on the basis of teaching, research, and service excellence to date, consistent with the mission of the university, and a high degree of confidence in the continuation and enhancement of this performance for the benefit of the university. Recommendations for tenure shall be made once each year to be effective at the beginning of the succeeding academic year. Tenure can only be revoked due to dismissal for cause, financial exigency, the elimination of programs, medical reasons, retirement, or resignation. Tenured faculty members shall be afforded every opportunity to be placed in other related faculty assignments when the existence of a financial exigency or the elimination of a program may necessitate the reduction of tenured faculty members. Tenure shall be specific to the University of Houston System component recommending tenure and never applies to administrative appointments.
- F. **Promotion** is defined as advancement to a higher rank based on evidence of excellence in the performance of job responsibilities. Promotions are subject to the approval of the Chancellor/President and the Board of Regents after appropriate review processes. Recommendations for promotion shall be made no more than once each year, to be effective at the beginning of the succeeding academic year.

Distinguished and Named Professors

The University of Houston has a large and growing number of distinguished and named professorships. These professorships serve both to recognize outstanding members of the faculty and to assist the University in creating and sustaining nationally and internationally recognized programs. Each distinguished or named professorship carries with it academic honor and recognition and conveys an important representation of the University itself. The University ensures that each individual holding one of these distinguished and named chairs is an exemplary member of his or her discipline.

The type of distinguished or named professorship and the source of endowment support affect the procedure by which a distinguished/named professorship is awarded. All appointments are subject to the approval of the Dean and the Provost. A faculty member may hold only one endowed or named professorship or chair at any one time.

Positions supported with college foundation funds *(not endowed)*

Recommendations for appointments to professorships that are within a specific college and are not supported by endowment funds are made according to college guidelines and approved by the Dean and the Provost.

Positions within a specific college *(referred to as professors, chairs, or scholars, according to the language of the endowment agreement or university naming conventions)*

Recommendations for appointments to endowed professorships within a particular college are made by a committee of endowed professors/chairs/scholars and/or senior faculty, according to college guidelines.

Positions at the university level

A committee comprised of five members appointed by the provost, with at least one member from a department or college in which the candidate will be active, will review the credentials of the candidate and report its recommendation to the provost. The dean of the college in which the candidate will be employed or the dean's designee will present the candidate's credentials to the committee and respond to questions.

In the case of a candidate who is being hired from outside the university and who holds an endowed professorship at a peer institution, the dean may request that the provost waive the committee review and grant approval following a review of the candidate's record and qualifications.

Nomination procedures for Moores Professors will be announced each fall semester. The Moores Selection Committee will be appointed by the provost.

Standards for Distinguished and Named Professors

Normally nominees for distinguished and named professorships are expected to show evidence of the following academic qualifications:

The nominee has a reputation that is national and international in scope, with research or creative activity that has been original, seminal, and influential.

The nominee has materially affected undergraduate and/or graduate education.

The nominee is a strong citizen of the discipline and of the university.

Exceptions to these requirements may occur to meet specifications of endowment agreements.

Nomination files must include the following:

Letter of nomination providing justification for the appointment, including concordance with the conditions of the endowment documents.

Letter of transmittal from the department chair, explaining the value of the appointment to the department and providing an independent evaluation of the nominee.

Letter of transmittal from the dean, explaining the value of the appointment to the college and addressing the standards listed above, particularly the influence and value of the nominee's work and its place in the discipline.

The candidate's current curriculum vitae and supporting materials.

Three to five external arm's length letters of recommendation. Because external reference letters are part of the documentation required for employment, separate letters for the distinguished professorship are not required. (A summary of the credentials of each referee must be provided.)

Terms and Reviews of Distinguished and Named Professors

Distinguished and named professors at the University of Houston shall normally have a term of five years subject to revocation for cause. Those who indicate that they wish to continue shall be reviewed during the fifth year. Reviews will normally be non-competitive, and renewal will be based on continuing research or creative activity, teaching excellence, and service to the discipline, the department, the college, and the university.

Emeritus Status

The following establishes general University of Houston System guidelines for the development of individual university policies and procedures for determining emeritus eligibility, privileges, and responsibilities.

- A. The titles "emeritus" and "emerita" will be conferred only upon those retired tenured faculty, including those on Voluntary Modification of Employment (VMOE), who have made a significant contribution to the university through a long and distinguished record of scholarship, teaching, and/or service.
- B. In addition to the title Professor Emeritus, the university will recognize the titles Chancellor Emeritus, President Emeritus, and Senior Vice President Emeritus, as recommended by the Board of Regents.
- C. While each university will formulate its own nomination procedures, all nominations should originate at the departmental or division level and should be based upon the recommendation of colleagues in the department, division, college, or administrative office.
- D. All emeritus appointments are subject to approval by the Board of Regents upon recommendation by the Chancellor/President. Approval by the Regents will normally occur in the spring of each year.
- E. In addition to library, e-mail account, and parking privileges, emeritus faculty should receive invitations to and announcements of appropriate university and System functions and should be listed in appropriate catalogs and directories. Each university will determine any additional courtesies or privileges to be accorded emeritus faculty.

Emeritus faculty are expected to remain willing to assist and advise the System or University as requested, particularly in their areas of competence.

Eligibility for Employment

Nepotism Policy

(UHS Board of Regents policy 57.07)

Relatives of members of the Board shall not be employed by the System unless the employment took place at least one year prior to the appointment of the Board member. Relatives of other System employees shall not be employed by the System in positions where the employee has the official authority to hire or recommend or approve the hiring, salary, or promotions of the relative. Relatives shall not be employed in the supervisory-subordinate relationship even if it results from marriage after the employment relationship was formed. The provisions of this policy apply to all System programs regardless of funding source.

For the purposes of this policy, the term, "relative," is defined as anyone related to the employee within the second degree of affinity or the third degree of consanguinity and includes the employee's spouse and the employee's or the spouse's parents, grandparents, great grandparents, brothers, sisters, half brothers and sisters, children, grandchildren, great grandchildren, aunts, uncles, nieces, nephews, first cousins, second cousins, and persons married to them.

Employment of Non-citizens

Federal laws prohibit the employment of any non-U.S. citizen who is not authorized to work in the United States by the U.S. Citizenship and Immigration Services of the U.S. Department of Homeland Security. All employment offers are contingent upon the applicant's ability to demonstrate identity and proof of eligibility to work in the U.S. Current faculty whose employment authorizations have an expiration date must present documents to re-verify employment authorization on or before the expiration date. The Human Resources Department is the official signatory authority for all employment-related petitions submitted to the U.S. Citizenship and Immigration Services, as well as labor certification applications submitted to the Department of Labor.

For additional information: Human Resources Customer Service Center, 713-743-3988, or visit the website at <http://www.uh.edu/admin/hr/>.

Primary Spoken Language of Teaching Personnel

In accordance with the Texas Education Code, section 51.917, the University of Houston affirms that all courses offered for credit (with the exception of foreign languages and bilingual education) will be taught by faculty/teaching personnel who are proficient in the spoken English language. To ensure full compliance with this policy, the University of Houston requires that all persons who are employed as faculty/teaching personnel self-declare that English is or is not their primary language prior to the beginning of their instructional assignments. Faculty members whose primary language is not English shall be screened for English language competence.

This proficiency requirement may be satisfied by one of the following criteria:

1. Completion of baccalaureate degree requirements at a regionally accredited U.S. institution or an institution in Australia, Canada, New Zealand, South Africa, or the United Kingdom at which English is the medium of instruction.
2. A minimum score of 50 on the Test of Spoken English (TSE), 50 on the Spoken Proficiency English Assessment Kit (SPEAK) Test, or 17 (out of 25) on the Foreign

Service Institute (FSI) Oral Interview. The TSE is administered at TOEFL (Test of English as a Foreign Language) test centers on TOEFL test dates. The FSI Oral Interview and the SPEAK Test administration may be arranged with the Office of Counseling and Testing.

The assessment process is currently under review. *For more information: Graduate and Professional Studies Office, 713-743-9088, or visit the website at <http://www.uh.edu/gsl/>.*

Faculty Position Approval and Search Procedures

The establishment of faculty and librarian lines is the responsibility of the Provost. Responsibility for appointments to the faculty rests primarily with the department and the college, with the concurrence of the Provost. Appointments to non-tenure track positions follow regular departmental, college, and campus procedures. Appointments of tenure track faculty and continuing appointment librarians are made according to written procedures approved by the Provost.

Subject to approval by the Dean and Provost and within departmental budgeting constraints, the departmental search committee will initiate open searches, will review all applications, and will recommend a candidate subject to departmental procedures. The department chair shall forward the recommendation to the dean of the college. Upon approval of the dean, a request to make an employment offer will be forwarded to the Provost for approval. This request will include appropriate documentation as specified by the Provost. If the search process is postponed, the college shall immediately notify the Provost. No position is official until approved by the Provost.

In those instances where the appointee is to fill a distinguished or named chair, or is to serve as department chair or head, there will be prior consultation with the Provost as to the conditions and nature of the search.

In all appointments to the faculty, there must be assurance of compliance with the affirmative action and equal employment policies and procedures of the university.

Affirmative Action Procedures on Search Committees

The Office of *Equal Opportunity Services* is charged with monitoring the search process for all tenured/tenure-track faculty, librarian, and upper level administrative positions. The Office of the Provost, in conjunction with the Office of *Equal Opportunity Services*, developed procedures to assist all search committees in maintaining compliance with the University's Affirmative Action Program.

The Office of *Equal Opportunity Services* will work with the search committee to develop appropriate screening procedures, write and place advertisements, monitor the applicant pool at different stages of the search process, suggest interviewing techniques, and process the faculty folder at the conclusion of the search.

Membership of the search committees should reflect diversity in gender, race, and ethnicity. At its first meeting a representative of the Office of *Equal Opportunity Services* will review and clarify the appropriate procedures with the committee, assuring that the search meets the needs of the University as well as those of the department or unit.

For further information call the Equal Opportunity Services Office, 713-743-8835, eosinfo@uh.edu or visit the website at <http://www.uh.edu/legal-affairs/affirmative-action/index.php>.

Moving and Relocation Expenses

Payment of expenses for transportation of household goods and personal effects of new University of Houston faculty and exempt staff may be authorized from university funds within the limitations and restrictions as provided within the Manual of Administrative Policies and Procedures 02.02.05: Moving and Relocation Expenses.

Related questions should be directed to the College or Division Business Administrator or the Tax Department, 713-743-8710, or read MAPP 02.02.05 at <http://www.uh.edu/af/universityservices/policies/mapp/02/020205.pdf>.

Personnel Records

The official personnel file of each faculty member of the University of Houston is generally an open record and is located in the Human Resources Department. Requests for hard copies of one's own file shall be made in writing to the Assistant Vice President for Human Resources.

For more information call Human Resources Customer Service Center, 713-743-3988, or visit the website at <http://www.uh.edu/admin/hr/>.

Policies and Procedures Governing Specific Faculty Groups

Administrators with Faculty Rank

Definition

Executive Management employees include persons serving in the following positions: Chancellor/President, Senior Vice Chancellor/Vice President, Executive Vice Chancellor/Vice President, General Counsel, Vice President, Dean (Academic), Chief Audit Executive, and their equivalents (e.g., an administrative head of a recognized department reporting directly to the Chancellor/President).

Appointment Procedure

When the principal candidate is chosen and is made an offer, the chair of the Search Committee forwards the candidate's vita and letters of recommendation to the department to which the faculty member will be assigned. The department will conduct a review of the candidate utilizing the same procedures applicable to faculty candidates for determining appointment, rank, and tenure status.

The department chair forwards the results of the departmental review and vote to the dean, who follows normal college procedures for faculty appointment. The dean sends the college recommendation with the supporting materials to the Provost.

The Provost conducts an independent review, with the advice of the University Promotion and Tenure Advisory Committee, if so desired. The Provost then makes a final recommendation and provides a justification to the Chancellor/President. The Chancellor/President reviews those recommendations and makes the tenure decision and recommends a faculty rank to the Board of Regents.

If the administrator under review is replacing an administrator in the approval process, the current administrator shall recuse him/herself from the review. A representative, who is a member of or familiar with that unit, will conduct the review for that level.

Research Faculty

A. Definition

The research faculty will consist of members with the following titles: research assistant professor, research associate professor, research professor; research scientist, and senior research scientist. Individuals at each level will have research experience and prestige comparable to that of a regular faculty member at the equivalent level. Research faculty are typically externally funded and will not be paid from the state teaching budget. This designation, on an exceptional basis, may be used for persons who do not yet hold the terminal degree.

B. Qualifications for Appointment

The Ph.D. degree or equivalent is required for all individuals appointed as research faculty.

C. Appointment Procedure

Appointment of research faculty will be the responsibility of the dean of the college, with approval of the Provost, based upon the recommendation of the individual department. The recommending dean will indicate the space, staff support, and equipment needs of the individual to be appointed and how these needs are to be accommodated within the context of existing or projected resources. The specific offer, and all related conditions, shall be the responsibility of the college, department and faculty sponsor. These conditions may vary significantly depending on the funding source which supports the research faculty member.

D. Duration and Nature of Appointment

Appointments normally will be yearly, but shorter appointments are possible. All appointments of research faculty are non-tenure track appointments, and service in this rank shall not be counted towards tenure at the University of Houston.

E. Research Privileges and Responsibilities

Research faculty members will conduct research under the same policies followed by regular faculty members. Research faculty may submit proposals as principal investigators. This will require approval by the usual university authorities.

F. Teaching and Related Obligations

Research faculty will not have specific teaching or related obligations as a condition of their appointment; however, they may teach not more than one course a year. Research faculty who are assigned to teach must be certified as proficient in the spoken English language prior to the beginning of their instructional assignment. They may advise the university community as requested and may from time to time give lectures in their area of specialization. The research professor may serve as a co-advisor with a regular tenured faculty member to graduate students working toward an advanced degree. Research faculty may serve on (but not chair) thesis and dissertation committees at the option of individual colleges, but they may not constitute the majority of the committee. Such activities will be considered incidental, and in addition to the research faculty's normal scope of employment.

G. General Privileges

Research faculty will have the same general privileges as regular faculty and will receive a faculty identification card. These privileges include library, computer, athletic, and parking privileges.

H. Academic Privileges

If specified in the by-laws of individual academic units, research faculty may participate in departmental, college, or university affairs. However, research faculty may not constitute a voting majority on any department or college committee or in any department. Participation will be regulated by guidelines established by individual colleges and departments and approved by the Provost. These guidelines apply to all individuals with research faculty appointments in the relevant academic unit. Research faculty are not eligible to apply as principal investigators for the various internal grant programs. Research faculty are allowed to submit as co-investigators for the Grants to Enhance and Advance Research (GEAR) Program.

To the extent that research faculty have academic privileges, they shall be governed by the same regulations as regular faculty members as outlined in the *Faculty Handbook*.

I. Promotion

Research faculty members are eligible for promotion within their research ranks as a result of a formal review procedure. This procedure must be stipulated by each college and must include review at the department and college level with approval of the Provost. Specific criteria for appointment at each rank must be developed in the college policy.

J. Compensation

Salaries for research professors will be set by the same procedures used during the annual budget cycle for regular faculty depending on the availability of funding. Research faculty will be considered for salary increases in accordance with the university's guidelines for persons classified as faculty.

K. Exceptions

Any exception to the policy requires the approval of the Provost.

Clinical Faculty

A. Definition

Clinical faculty appointments are non-tenure track appointments that may be assigned the ranks clinical assistant professor, clinical associate professor, and clinical professor. Such appointments are outside the University of Houston tenure system.

B. Qualifications for Appointment

Individuals at each academic rank will have experience and qualifications comparable to that of regular faculty members at the equivalent level. Clinical faculty must be primarily engaged in client or field-based educational programs. Each college that has clinical faculty will in its policy statement, specify the appropriate degree required for appointment as clinical faculty and any additional licensing or accreditation requirements that are necessary.

C. Appointment Procedure

Appointment of clinical faculty, including the specific offer and all related conditions, will be the responsibility of the dean of the college with approval of the Provost, based upon the recommendation of the individual department which will house the clinical faculty member. The recommending dean will indicate the space, staff support, and equipment needs of the individual to be appointed and how these needs are to be accommodated within the context of existing or projected resources. Each college that chooses to use clinical faculty must develop a policy document that contains a justification for the use of clinical faculty and specifies policy governing clinical faculty appointments in the college. Each college policy must also specify the duties and responsibilities of clinical faculty in the college. This policy must be approved by the Provost.

D. Duration and Nature of Appointment

All appointments of clinical faculty are non-tenure track and may not be converted into tenure track positions. Clinical faculty will not be considered for tenure; and instructional time served in any clinical faculty position shall not be counted toward tenure. Appointments are typically for one academic year, although a shorter appointment is possible, and appointments will be

evaluated annually. Clinical faculty should not expect continued employment beyond the period specified in the appointment letter. Duties and responsibilities of clinical faculty will be in accordance with the college's Clinical Faculty Policy. Exceptions to this provision must be approved in advance by the dean and Provost.

E. General Privileges

Clinical faculty will have the same general privileges as regular faculty except as noted in this document and college documents and will receive faculty identification cards. These privileges include library, computer, athletic, and parking privileges.

F. Academic Privileges

If individual academic units approve, clinical faculty may participate in departmental and college affairs. Clinical faculty may serve on (but not chair) thesis and dissertation committees at the option of the individual college, but they may not constitute the majority of the committee.

Participation in departmental and college affairs will be regulated by guidelines established by the individual college and approved by the Provost. To the extent that clinical faculty have academic privileges, they shall be governed by the same regulations as regular faculty members as outlined in the *Faculty Handbook*.

G. Promotion

Clinical faculty members are eligible for promotion within the clinical rank as a result of a formal review procedure. This procedure must be stipulated by each college and must include review at the department and college level with the approval of the Provost. Specific criteria for appointment at each rank must be described in the college policy.

H. Compensation

Clinical faculty who will be reappointed for the next academic year will be considered for salary increases in accordance with the university's guidelines for persons classified as faculty.

I. Restrictions

College policies must specify limitations on the number of clinical faculty in the college. Each college/school may have no fewer than 75 percent of its full-time equivalent faculty in tenured/tenure-track positions, unless a proposal for modification is approved by a majority of the full-time, tenured/tenure-track faculty. No college/school may hire clinical faculty until a college policy on clinical faculty has been developed and approved by the Provost.

J. Exceptions

Any exception to this policy requires the approval of the Provost.

Librarians

Librarians who have faculty status have the same rights and protections, and are subject to the same responsibilities as other faculty, as delineated in this Handbook. For specific policies governing librarians, see the *Governance of Librarians of the University of Houston Libraries*.

Part-Time Faculty

The University of Houston System recognizes that the community of Houston has a number of outstanding professionals representing a number of disciplines. It recognizes also that the

appointment of such persons on a selective basis as part-time faculty members can serve to enrich academic programs throughout the institution. This policy, therefore, is designed to support such selective appointments, to ensure that quality standards are maintained, and to ensure that such part-time faculty members are provided adequate orientation, supervision and assessment of performance.

Instructional Faculty

A. Definition

Instructional faculty appointments are non-tenure track appointments which may be assigned the ranks instructional assistant professor, instructional associate professor, and instructional professor. Such appointments are outside the University of Houston tenure system. Instructional faculty may be expected to teach distance education courses either face-to-face at off-campus sites, using instructional technology or instructional TV.

B. Qualifications for Appointment

Individuals at each academic rank will have experience and qualifications comparable to that of regular faculty members at the equivalent level. Instructional faculty must be primarily engaged in classroom instruction or similar activities. Each college that has instructional faculty will, in its policy statement, specify the appropriate degree required for appointing such faculty and any additional licensing or accreditation requirements that are necessary.

C. Appointment Procedure

Appointment of instructional faculty, including the specific offer and all related conditions, will be the responsibility of the dean of the college, with approval of the Provost, based upon the recommendation of the individual department that will support that person. Each college that chooses to use instructional faculty must develop a policy document that contains a justification for the use of instructional faculty and specifies policy governing instructional faculty appointments in the college. Each college policy must also specify the duties and responsibilities of such faculty in the college. This policy must be approved by the Provost.

D. Duration and Nature of Appointment

All appointments of instructional faculty are non-tenure track and may not be converted into tenure track positions. Time served in any instructional faculty position shall not be counted toward tenure. Appointments are typically for one academic year, although either a shorter appointment or a twelve month appointment is possible, depending on the needs of the program and the availability of funding. Appointments will be evaluated annually. Instructional faculty should not expect continued employment beyond the period specified in the appointment letter. Exceptions to this provision must be approved in advance by the dean and Provost.

E. General Privileges

Instructional faculty will have the privileges described in college guidelines. These privileges include access to the library, computing, athletic facilities, identification cards, and parking.

F. Academic Privileges

If individual academic units approve by so indicating in their policies for instructional faculty, instructional faculty may participate in departmental and college affairs.

Participation in departmental and college affairs will be regulated by guidelines established by the individual college and approved by the Provost. Instructional faculty are not eligible for some university-wide internal grant programs.

G. **Promotion**

Instructional faculty members may be eligible for promotion within the instructional track as a result of a formal review procedure. Any such procedure must be stipulated by each college and must include review at the department and college level with the approval of the Provost. Specific criteria for appointment at each rank must be described in the college policy.

H. **Compensation**

Instructional faculty who will be reappointed for the next academic year may be considered for salary increases in accordance with the university's guidelines for persons classified as faculty.

I. **Restrictions**

No college may hire instructional faculty until a college policy on instructional faculty has been developed and approved by the Provost. College policies must specify limitations on the number of instructional faculty in the college. Each college may have no fewer than 75 percent of its full-time equivalent faculty in tenured/tenure-track positions, unless a proposal for modification is approved by a majority of the full-time, tenured/tenure-track faculty.

J. **Exceptions**

Any exception to this policy requires the written approval of the Provost.

Graduate Student Assistantships

A. **Definitions**

1. **Graduate student assistants** are graduate students in good standing enrolled full-time who hold an appointment requiring the performance of such duties as classroom instruction, academic advising, reading papers and examinations, supervision, or research. There are four graduate student appointment categories, encompassing the position of Teaching Fellows, Teaching Assistants, Instructional Assistants, and Research Assistants.
 - a. **Teaching fellows** (TF) have direct student contact in a formal instructional setting and are charged with the primary responsibility for teaching a course for credit under the direct supervision of a faculty member experienced in the teaching discipline, with regular in-service training and planned and periodic evaluations. Teaching fellows are listed as the instructor of record. Appointments at this level normally imply advanced academic status and substantial prior college or university experience. For SACS compliance, TFs should possess at least a master's degree in the teaching discipline or 18 graduate semester hours in the teaching discipline. Graduate students employed as TFs are not allowed to be instructors of record for courses that carry graduate credit. Examples of duties may include, but are not limited to: classroom/laboratory teaching; recitations, lectures, developing syllabi and lesson plans; holding office hours; consulting on group projects, counseling students; tutoring; and leading student tours and field trips.
 - b. **Teaching assistants** (TA) are graduate students who have direct student contact in a formal instructional setting but who do not have primary responsibility for teaching a course for credit; they perform under the instructor's direct supervision and provide

general assistance to the instructional process. Teaching assistants may not be listed as instructor of record though they may lecture.

- c. **Instructional assistants** (IA) are graduate students who do not have direct instructional duties but assist employing departments with academic courses, programs, projects, or other activities in support of the instructional process.
- d. **Research assistants** (RA) are graduate students who are engaged in research activities, including but not limited to work in the laboratory or computer work that support the research mission of the employing unit. Please note that students employed in this category are considered part-time staff employees under the university personnel system and are thus not eligible for the same benefits as students employed in the TA, TF, and IA categories.
- e. **Other: Graduate Assistants Non-exempt (GANE)** are graduate students employed in an hourly position and whose responsibilities may be administrative in nature or consist of other activities that do not generally fit within the RA, TF, TA, or IA job responsibilities. Students employed in this title are not eligible for the Doctoral Student Tuition Fellowship (DSTF).

A graduate or professional student employed in a position with student contact is required to meet the university requirements for English language proficiency.

- 2. **Definition of Student Contact.** An individual who teaches a course for academic credit is engaged in student contact. In addition, any individual who carries out the following within a formal instructional setting – talks extensively with students about class, course, or laboratory materials, helps explain course material, leads discussion sections, or holds office hours as part of his/her assigned job duties – is engaged in student contact.

NOTE: The Academic Support Assistant (ASA) title is only to be used for undergraduate students. ASA are employed by academic support programs (whether in an academic or administrative unit) whose primary duties involve either training or tutoring UH students enrolled in academic degree programs or research activities under the direction of a faculty member in areas related to the student assistant's degree program. Graduate students may not be hired as Academic Support Assistants.

The following policies applying to all graduate student assistantships are inclusive, but not exhaustive. Departments and colleges may develop additional policies and procedures.

- B. **Appointment Procedures:** The appointment of graduate student assistantships is the responsibility of the deans of the colleges and is based upon the recommendations of the departments. The specific offer and all related conditions are the responsibility of the department.

The University of Houston has a standard form that must be used in the appointment of graduate student assistants. The form is available in each department. Any conditions of appointment beyond those stipulated in the agreement will be specified by the appropriate departmental officer and noted on the Graduate Student Assistantship Employment Agreement form.

- C. **Stipends:** The minimum stipend for graduate student assistants pursuing a masters degree is \$600 per month for a 50 percent appointment. For graduate student assistants who have

completed a master's program or its equivalent and are enrolled in a doctoral program, the minimum stipend is \$700 per month for a 50 percent appointment.

Monthly rates are established each semester. In most cases, if the application form is submitted in a timely manner to the department, students will see their DSTF credited to their fee bill before semester fees are due, leaving only the mandatory and course fees payment obligation and any other debt incurred. For students who apply after or just before the fee bill due date, the fee bill must be paid before the DSTF is credited to the account. Failure to pay all fees by the due date may result in the DSTF being revoked until payment is made. If a student has any outstanding debt owed to the university coming into the semester, the debt must be paid before the DSTF is credited.

D. Qualifications for Appointment: To be eligible for a graduate student assistantship, students must have an undergraduate degree or its equivalent, be admitted to a graduate program, and be prepared to devote full-time efforts toward the degree. In order to serve as classroom instructors or in other roles that require communicating (both comprehending and being comprehensible) with students in spoken English, graduate student assistants must demonstrate proficiency in spoken English. This proficiency requirement may be satisfied by one of the following criteria:

1. Completion of baccalaureate degree requirements at a regionally accredited U. S. institution or an institution in Australia, Canada, New Zealand, South Africa, or the United Kingdom at which English is the medium of instruction.
2. If a student does not meet the requirements of Criterion 1. above, there are several ways to demonstrate proficiency in the English language: completing Level 6 at the Language and Cultures Center at UH, passing the Test of Spoken English (TSE) (passing score of 50) passing the International English Language Testing System (IELTS) (passing score of 7), or passing the internet Based Test (iBT) (passing score of 25). The TSE is administered at TOEFL test centers on TOEFL test dates.
3. Provide evidence of spoken English language proficiency using an alternate method to satisfy spoken English fluency requirements. Departments and colleges are permitted to develop alternative methods to assess English language ability for those who do not pass one of the three tests described in Criterion 2. Alternative methods must be approved by Graduate and Professional Studies prior to implementation. NSM currently has an approved alternative procedure to verify spoken English fluency. Please refer to policies and procedures developed by NSM for more details.

As it is not always possible for an applicant to demonstrate proficiency in English prior to arriving on campus, conditional appointment as a graduate student assistant may be extended to allow demonstration of proficiency upon arrival. Such authorization requires the written consent and support of the student's academic adviser and approval by the dean of the college of the student's major as well as Graduate and Professional Studies. Until proof of proficiency is presented, the student may not be assigned to an instructional role.

E. Duration of Appointment: Although a one-semester appointment is possible, the appointment of a graduate student assistant is normally for the full academic year (fall and spring semesters). Summer employment is not guaranteed and will be based on departmental needs.

A graduate student may be employed in a graduate student appointment position for no more than six long semesters (3 years) while classified as a master's student.

A graduate student may be employed in a graduate student appointment position for no more than 10 long semesters (5 years) while classified as a doctoral student. Graduate students who pursue both masters and doctoral studies at the University of Houston may be employed in a graduate student assistantship for no more than 12 long semesters (6 years).

For those who are employed in graduate student appointment positions and who are pursuing two graduate degrees at the same level (i.e. two master's degrees) consecutively at the University of Houston, the time limitation starts over with the second degree. Therefore, a student who graduates with one master's degree and then pursues a second master's degree is eligible for up to 12 long semesters (or six years) while classified as a master's student.

Requests for an extension of the time frames for joint degree programs should be directed to the Office of the Provost.

F. Conditions of Service: The following policies are applicable to all graduate student assistants; departments and colleges may prescribe additional conditions of employment.

1. Satisfactory progress, as defined by the college or department, must be made toward the degree.
2. The minimum full-time course load per semester is nine semester hours for master's students and nine semester hours for doctoral students. (See "[Course Load](#)" for summer requirements.)
3. For summer, the student must be registered for a minimum of six credit hours during any combination of summer sessions.
4. Tuition for any additional credit hours over the minimum of nine (or six) will be charged to the student, who will be responsible for payment.
5. Graduate student assistant employment must be substantively related to the student's major field of study.
6. Graduate student assistants must maintain a cumulative grade point average of 3.00 (A=4.00).
7. Graduate student assistants are normally not allowed to teach courses that carry graduate credit and are not permitted to enroll in courses for which they are assigned assistantship responsibilities.
8. International graduate student assistants must successfully complete a speaking test of English before assuming actual teaching duties. The graduate student assistant must achieve a satisfactory score on such a test before assignment of teaching duties. (See section on "Qualifications for Appointment.")
9. The normal appointment for a graduate student assistant is a full-time Equivalency (FTE) work load of 50 %. This entails a work load that may not, on the average, exceed 20 hours per week, including time spent in preparation, in the classroom or laboratory, in reading papers and examinations, or in any combination of these or other assigned activities.
10. In rare instances, an assistant may receive up to 67 percent appointment with the stipend increased proportionately and the required course load decreased proportionately. This will

be acceptable if justified on an individual basis, if understood to involve an exceptional set of circumstances, and with the pre-approval of the college dean and Graduate and Professional Studies. [Note: An overload appointment (> .50 FTE) may jeopardize the Doctoral Student Tuition Fellowship (DSTF).] **PLEASE NOTE: International Students are NOT allowed to carry an overload during the fall/spring semesters.**

11. Upon audit, full-time graduate student assistants who are found to hold unauthorized overload appointments greater than .50 FTE will have their DSTF revoked retroactively.
12. Generally, students will be approved for overload appointment if the appointment is for a short duration and does not result in a total employment FTE over .67 FTE.
13. International students on F-1 or J-1 visas may not hold overload appointments during fall or spring semesters while classes are in session.
14. All requests for overloads must be made before the overload activity begins, or a memo of justification will be required from the college dean.
15. Requests for an overload must be made on a Graduate Student Assistant Overload Request Form.
16. Exceptions to overload procedure when an overload request form is not required include all one-time, single payments less than \$301; activities include proctoring an exam, payment for participation at an athletic function, participation in a research study, and participation in a special event.
17. Other exceptions to overload procedure not requiring the form include all Instructional Television (ITV) or Online course delivery (DE) assignments.
18. Graduate student assistants will not be assigned as instructors of record (i.e., having full responsibility for a course) until they have earned a master's degree or its equivalent or have completed 18 graduate semester credit hours in their teaching field, or are enrolled in a doctoral program. Exceptions must have the approval of Graduate and Professional Studies.
19. While graduate student assistants need to have access to space and facilities to carry out their assignments effectively, it must be recognized that from department to department, there will be constraints that limit these privileges. The following privileges, however, can be listed:
 - a. In addition to the services and facilities available to them as students, graduate student assistants will be issued specific documentation or a faculty/staff identification card entitling them to appropriate parking, library and computer privileges, bookstore discounts, and access to any other privileges that might accrue in the future, and
 - b. Graduate student assistants will have access to a desk and chair, file space, mailbox, and appropriate supplies for the duties assigned. Department conditions allowing, they should have access to computer equipment, duplicating equipment, and a telephone.
20. Students who drop classes or otherwise fail to maintain the minimum registration requirements, or who do not meet all of the criteria for eligibility throughout the duration of the semester will have their DSTF revoked retroactively and will be billed for designated tuition.

G. Insurance Coverage for Graduate Student Assistants: State legislation allows the University of Houston to extend to qualified students holding graduate student appointment

positions the option to enroll in the University's group medical insurance programs. All coverage plans are identical to the plans offered to regular benefits-eligible faculty and staff of the University. Students holding graduate student appointment positions are not eligible to participate in state retirement programs and other benefits extended to regular benefits-eligible employees.

H. Reappointment of Graduate Student Assistantships: Priority for reappointment is to be given to those graduate student assistants making satisfactory progress toward completion of an advanced degree and is based on the quality of performance of assigned duties. The criteria to be used in making reappointments are to include, but not be limited to:

1. A 3.00 minimum cumulative grade point average and current grade point average.
2. The report of the graduate advisor or coordinator.
3. A formal evaluation by the faculty mentor supervising the graduate student assistant's work.
4. The length of time in an assistantship position.
5. The length of time in degree program. Reappointments are not automatic for assistants; final decisions will be based on departmental needs and availability.

I. Mandatory Employment Discrimination Training

All Texas State agencies are required to provide employment discrimination training to employees. The University of Houston is a State agency, and graduate students who are employed by UH in graduate student appointment categories (TA, TF, IA, RA, and GA NE) must undergo such training. Graduate and Professional student employees must attend training classes conducted by the Office of *Equal Opportunity Services* not later than 30 days after they are hired and attend supplemental training every two years thereafter. Students holding graduate appointment titles who attend this training will be required to sign a statement verifying attendance which will be placed in the Graduate Student's personnel file. Contact the [department of major](#) or the *Equal Opportunity Services* for more information.

Doctoral Student Tuition Fellowship

The purpose of the program is to encourage students to complete Ph.D. degrees in a timely manner. This program replaces the former GATF (Graduate Assistance Tuition Fellowship) and is to be used to provide fellowships covering the cost of in-state tuition (up to nine credit hours per long semester, six hours in the summer), as described below, for qualified Ph.D. students.

1. To be eligible to be considered for funding, a student must have an undergraduate degree or its equivalent and be admitted to a University of Houston graduate or professional program, devoting full time (nine credit hours per semester and six hours during the summer, if approved by the college or department, as appropriate) effort to a Ph.D. or, in certain college approved cases, a terminal degree.
2. Continuing students must have shown satisfactory progress in the degree program as defined by the enrolling college or department.
3. Continuing students must have a cumulative grade point average of at least 3.00 in the Ph.D. or approved terminal degree program.
4. Students who enter the doctoral program with a master's degree may hold the fellowship for no more than four academic years.

5. Doctoral degree seeking students who enter the doctoral program directly from a baccalaureate program may hold the fellowship for no more than six academic years.
6. Graduate students holding the fellowship must agree not to be employed (on or off-campus) for more than 20 hours per week (50% FTE). Violation of this provision will result in withdrawal of the funding during the semester in which the violation occurs.
7. Selection of awardees must be made by a scholarship committee in the college in which the student is enrolled according to clearly defined criteria consistent with the above and adopted by the college committee.

NOTE: The criteria to be used by department or college selection committees should be published on the appropriate websites.

Promotion and Tenure

These policies relate to the renewal or non-renewal of appointments of all tenure track faculty and to promotion actions for all tenure track and tenured faculty members.

Definitions

Tenure

Tenure at the University of Houston is awarded by the Chancellor of the University of Houston System and President of the University Houston, upon the recommendation of the Provost, under the authority delegated by the Board of Regents and upon the basis of recommendations initiated by departments and reviewed carefully by the colleges, the University Promotion and Tenure Committee, and the Provost. These recommendations result from an assessment of the individual's academic achievement and an estimate of future achievement. Tenure awarded at the University of Houston does not entail tenure at any other university of the University of Houston System. It is awarded on the basis of teaching, research, and service excellence to date, consistent with the mission of the University, and implies a high degree of confidence in the continuation and enhancement of this performance for the benefit of the University. An affirmative decision represents a positive judgment that the individual has contributed and will contribute to the development of excellence in the academic programs at the University of Houston, particularly within the context of the individual's college. Recommendations for promotion and tenure shall be transmitted annually from the Provost to the Chancellor/President, with all supporting documentation submitted by May 1 of each year and shall be effective at the beginning of the succeeding academic year.

Tenure may be granted to faculty members upon the successful completion of a probationary period at the University of Houston. The service of tenured faculty shall be terminated only for adequate cause, except in cases of financial exigency, discontinuance of programs, medical reasons, resignation, or retirement.

Tenure for Non-citizens

In order to be granted tenure a faculty candidate must either be a citizen of the U.S. or have permanent residence. In order to be considered for tenure, non-tenured tenure-track faculty who are not U.S. citizens must have permanent residence by the end of the spring semester prior to the year in which the tenure review will take place, or must have an approved labor certification/Form I-140 Immigrant Petition for Alien Worker approved by the U.S. Citizenship and Immigration Services (USCIS), if immigrating via sponsored employment. The probationary period will not be extended in the event that a faculty member does not have permanent residence by that time. In the event that the labor certification/I-140 has been approved, and the adjustment of status or consular immigrant visa application is pending, and is simply awaiting approval or availability of an immigrant visa number, the faculty member may be considered for tenure. In the case of faculty eligible for tenure consideration, tenure, if recommended and approved, will not be granted until such time that permanent residence has been granted by the USCIS.

General Policies

The primary responsibility for faculty review lies within the candidate's department and college. It is, therefore, critical that the departments and colleges set their own criteria and quality standards. The promotion and tenure policies are designed to assure that high standards are maintained and

that due process is followed. Due process consists of two elements. First, faculty have the right to know what is expected of them to be promoted and/or tenured. Second, candidates for promotion have the right to be heard, to clarify vagueness, and/or correct factual errors before any recommendation is forwarded to the next level of review. It should be noted that a faculty request for an extension of the probationary period should not reflect negatively on that individual's review for tenure.

The University of Houston policies are guided by principles delineated by the American Association of University Professors (AAUP is online at <http://www.aaup.org/aaup>). To assure an equitable review, the following policies must be followed at each level and incorporated into departmental and college policies:

- A. Promotion and/or tenure review is a peer review process. For that reason, only tenured faculty should vote on tenure decisions; only full professors should review and vote on applications for promotion to professor. Exceptions must be stated in the appropriate policies that apply at the departmental or college levels.
- B. Committee recommendations must be based on written tenure and promotion criteria and standards that have been previously approved by the Provost.
- C. Committee recommendations must include the name, rank, and title of each member of the review committee. Faculty who vote on a candidate's file at one level may not vote on that candidate a second time at a higher level.
- D. Committee deliberations shall be conducted in confidence and the committee's findings shared in writing with the applicant or the appropriate administrator.
- E. Department chairs and deans conduct independent reviews and make written recommendations based on an examination of all portfolio materials, including external letters of review and committee findings.
- F. Each subsequent review body is responsible for considering any procedural problems it identifies in the prior review and for making every effort to correct any errors caused by those problems.
- G. Applicants are entitled to a reconsideration of the Chair's, Dean's, and Provost's negative recommendations. Reconsiderations are limited to errors of fact and procedure. Further, applicants are entitled to reconsideration of negative recommendations by the department, college and university promotion and tenure committees. Other avenues of appeal may be available pursuant to department and/or college bylaws.
- H. Candidates may update their portfolios before the materials are sent to the next level.
- I. After the Provost's final decision, applicants may initiate a grievance within 30 calendar days of receipt of the Provost's letter.

Probationary Period

The *probationary period* is defined as the time a faculty member spends under annual appointment in a tenure track position prior to being awarded tenure. Tenure track faculty will be notified annually of decisions regarding continuing appointment. The probationary period for tenure shall not exceed seven academic years. The number of years and the terms of the probationary period shall be specified in the appointment letter. If a faculty member begins employment after the

beginning of an academic year but prior to the end of the spring semester of that academic year, either the probationary period for that faculty member shall be less than seven years, or the faculty member shall serve in a non-tenure track position for the remainder of that academic year and shall then have a probationary period of seven years. Up to three years of prior full-time collegiate-level teaching at the rank of assistant professor or above may be credited to the probationary period. Credit towards the probationary period of an assistant professor is discouraged since this significantly shortens the length of time the faculty member has to achieve the teaching, research, and service accomplishments necessary to achieve tenure. For probationary appointments the final and mandatory review for tenure shall take place in the year prior to the final probationary year-- e.g., year six of a seven-year probationary period. Requests may be made for early consideration of promotion and tenure.

During the probationary period, decisions to renew or terminate appointments or to deny tenure shall be made in accordance with the principles and procedures set forth in this Handbook.

A leave of absence shall not be considered as part of the probationary period for tenure unless a written agreement to the contrary is made between the faculty member and the dean of the college prior to the leave period.

Reviews during Probationary Period

Every tenure-track faculty will be reviewed annually by the department chair or appropriate administrator according to departmental procedures. Additionally, faculty whose appointment letters state that they have at least a four-year probationary period must undergo a thorough pre-tenure review. This review normally is conducted at the beginning of January of the faculty member's third year at the University of Houston. The faculty member must submit a portfolio in accordance with departmental/college policies and criteria for review by the departmental review committee. The committee informs the department chair, who conducts an independent review then writes a letter to the candidate detailing the strengths and weaknesses of the pre-tenure review portfolio. The chair sends a copy of the letter to the dean, who files the letter in the faculty member's personnel file. The letter then becomes part of the mandatory tenure review. Summaries of annual reports should be available to internal reviewers in promotion and tenure cases.

Non-renewal of Appointment of a Tenure Track Faculty Member

The decision not to renew the appointment of a non-tenured tenure track faculty member is not a form of dismissal for cause. Non-reappointment of a tenure track faculty member without tenure does not require justification of professional inadequacy nor is the faculty member affected by the decision entitled to a statement of the reasons upon which the decision for such action is based. The faculty member may grieve the non-renewal decision to the Provost if the faculty member believes the decision to be a violation of the faculty member's contractual rights or an infringement upon the exercise of rights guaranteed by the laws or the constitution of this state or of the United States. The grievance must be filed in writing with the Provost within fifteen calendar days of receipt of the notice of non-renewal. The faculty member may request a personal meeting with the Provost or may elect to proceed in writing only. The Provost's decision on the non-renewal decision is the final institutional step in this matter and shall not be subject to further review.

The decision to deny tenure shall be made no later than twelve months prior to the expiration of the probationary period, except as provided below. Written notice to the tenure track faculty that a probationary appointment is not to be renewed shall be given to the faculty member by the dean in advance of the expiration of the appointment, according to the following schedule of dates.

- A. For tenure track faculty in the first academic year of the probationary period, notice must be given not later than March 1 that their appointments will end at the conclusion of the current academic year; or, if a one-year appointment expires during an academic year, at least three months in advance of its expiration.
- B. For tenure track faculty in the second academic year of the probationary period, notice must be given not later than December 15 of the second academic year of service that their appointments will end at the conclusion of the current academic year; or, if an initial two-year appointment expires during an academic year, at least six months in advance of its expiration.
- C. For tenure track faculty in the third or later year of the probationary period, notice must be given not later than May 31 of the academic year preceding the academic year in which the appointment is to expire (e.g., non-reappointment at the end of third-year review) that their appointments will end at the conclusion of the terminal appointment.

When a *bona fide* financial exigency or the elimination of a program necessitates the reduction of the number of tenured faculty members, efforts shall be made to place the faculty members in other related faculty assignments.

For University of Houston financial exigency policy, see pages 79-81.

Time in Rank

(For a basic definition of these ranks, see pages 42-43.)

- A. **Instructors** may be appointed to the tenure track. *(See page 42.)* Time spent as an instructor on the tenure track at a specific university in the University of Houston System shall be counted as part of the probationary period. Faculty members may not be awarded tenure at the rank of instructor.
- B. **Assistant professors** shall serve a probationary period not to exceed seven years. Promotion and tenure must be awarded concurrently. If promotion is not granted, the candidate may not be tenured.
- C. **Associate professors** may be appointed with tenure, or alternately shall serve a probationary period not to exceed four years before tenure is awarded. In cases of exceptional merit, the probationary period specified in the appointment letter may be shortened by the Provost at the request of the dean or appropriate division head.
- D. Promotion from associate to **professor** requires strong evidence of teaching, scholarship, and service as appropriate to the mission of the university. No specified time in rank is required for promotion from associate to full professor.
- E. **Professors** are usually appointed with tenure but may be required to serve a probationary period not to exceed four years, which shall be stated in the appointment letter.

Extension of Probationary Period for Childbirth or Adoption

An untenured tenure-track faculty member who becomes a parent due to the birth or adoption of a child and who is responsible for the primary care of that child will be given upon request a one year extension of the probationary period, with or without a leave of absence. The faculty member is responsible for notifying his/her Department Chair in writing of a request for extension within six months of the birth or adoption of the child. The Department Chair will acknowledge the extension

of the probationary period and will inform the faculty member of the revised year of tenure review, with a copy to the Dean who will then notify the Provost's office.

Unless the faculty member expressly declines the extension in writing at the time the notice is given, the probationary period will be extended by one year. The extension of the probationary period may occur at most twice (for a total of two years extension), with each extension occasioned by the birth or adoption of a child, and by timely notice as defined above. Requests for extensions of the probationary period normally will not be considered after March 1 of the academic year prior to the tenure review period.

For purposes of this policy, a child is newborn or, in the case of adoption, under the age of six. Also, a tenure-track faculty member who is responsible for the primary care of the child is one who is responsible for significant and continuous care of his or her newborn or adopted child. If both parents are tenure-track faculty members, only one may qualify as the primary caregiver.

If a faculty member takes a leave of absence, this policy shall be applied in conjunction with relevant leave statutes and policies.

Policy on Extension of the Probationary Period for Emergencies

An untenured tenure-track faculty member has the right to request an extension of the probationary period because of serious illness, family emergencies or other serious personal circumstances. Circumstances that may justify an extension include, but are not limited to, serious illness and injury, or other serious disruptions or unexpected reasons beyond the faculty member's control.

Requests must be made in writing and submitted within six months after the emergency circumstances or personal circumstances occur. The request must be forwarded through the Department Chair and Dean to the Provost. The Provost will inform the dean of his or her decision and the year of tenure review. These decisions should be made as soon as practicable.

Requests for extensions of the probationary period normally will not be considered after March 1 of the academic year prior to the tenure review period.

This policy does not address faculty leave, nor does it affect any existing policy or policies relating to faculty leave.

Criteria and Standards for Promotion and Tenure

University Criteria

The basic criteria and standards of the University of Houston reflect a commitment to academic excellence. It is the expectation that faculty members shall meet the highest standards of their disciplines within the domains of teaching, scholarship, and service. Specifically, candidates for promotion are to demonstrate their effectiveness as teachers and that they have advanced knowledge or creativity in their respective disciplines or made significant creative contributions in their academic areas. This should be substantiated by appropriate publications, reviewed presentations or other appropriate publicly available communications. Service may involve contributions to departmental and college efforts, to campus-wide activities or to external professional organizations.

Criteria by Rank

Promotion to associate professor with tenure requires that faculty members have made high quality contributions to knowledge as a result of their scholarly and/or creative achievements, that they are effective teachers, and they have demonstrated an appropriate level of service. The evaluations of the candidates' portfolios are conducted by peers in the department and/or college with input from external reviewers who have not previously collaborated with the candidates. The evaluation must find that the candidate has demonstrated a commitment to academic excellence and that there is reasonable expectation that the candidate will meet the standard for promotion to professor in due course.

Promotion to the rank of professor requires significant contributions to the candidate's field that have had a scholarly or creative impact beyond the university. The application portfolio will document a record of accomplishments in scholarship/creativity, teaching, and service responsibilities that are distinguished by quality and significance over time.

Local Criteria

Departments and/or colleges are responsible for the application of the criteria and standards for promotion and tenure, consistent with prevailing standards of excellence in their own disciplines. Deans must review and approve written departmental criteria. The criteria and standards must be reviewed and approved by the Office of the Provost and distributed by the college and/or department to its faculty.

University Procedures for Tenure Reviews

Each spring, department chairs and deans review faculty appointment letters and inform all faculty with upcoming tenure reviews that their applications will be considered during the next promotion and tenure cycle. The Provost's Office will issue annual procedures by May 1 to all deans, directors, and department chairs. Before the end of the spring semester, these administrators should provide the web addresses of the department, college, and university procedures to all non-tenured, tenure track faculty.

Candidates are encouraged to obtain applicable procedures for departmental and college reviews. Procedures for university reviews and for the applicant's portfolio are listed on the Provost's Office website at <http://www.uh.edu/provost/fac/fac-guidelines-docs-forms/prom-ten/index.php> or see Appendix E on pages 228-242.

Candidates may withdraw their applications for promotion/tenure without penalty at any time during the review process in the College. However, when the reviews are mandatory, the withdrawal must be accompanied by a resignation letter and a signed Separation Form.

Candidates must be advised of a decision not to award tenure at least 12 months prior to the expiration of the probationary period. After the Provost's final decision, should the candidate believe that there were serious procedural violations that subsequent reviews failed to correct, the candidate may file a grievance (see Grievance Procedures in Promotion and Tenure Matters, directly below).

University of Houston Promotion and Tenure Committee

Twelve colleges are represented on the University Promotion and Tenure Committee, including: the Gerald D. Hines College of Architecture, the C. T. Bauer College of Business, the College of

Education, the Cullen College of Engineering, the Conrad N. Hilton College of Hotel and Restaurant Management, the Law Center, the College of Liberal Arts and Social Sciences, the College of Natural Sciences and Mathematics, the College of Optometry, the College of Pharmacy, the College of Technology, and the Graduate College of Social Work. The Provost selects one faculty representative from each college based on four nominations, two from the Faculty Governance Committee and two from the Dean. Nominees must be tenured, with full professors given preference. Members serve three-year terms with approximately one-third of the membership due for replacement annually.

Grievance in Promotion and Tenure Matters

Beyond the rehearing option noted in the Promotion and Tenure Procedures (listed on the Provost's Office website at <http://www.uh.edu/provost/fac/fac-guidelines-docs-forms/prom-ten/index.php>, the faculty member may have access to college-level and university-level grievance procedures. The University of Houston Grievance Committee exists as the final faculty body to which appeal may be made regarding a decision for non-renewal of contract of a non-tenured faculty member. Notice of a grievance must be made by the faculty member within 30 calendar days after s/he has received official notice that the Provost has recommended non-renewal of appointment to the Chancellor/President.

Decisions by faculty bodies and administrators responsible for recommendations not to confer tenure, not to promote, or not to reappoint must meet the following tests:

- A. They must not violate the faculty member's academic freedom or punish him/her for exercising his/her academic freedom, either in the performance of his/her duties or outside the institution.
- B. They must not violate the faculty member's constitutional and legal rights or punish him/her for exercising them, and must be in compliance with mandated equal opportunity policies.
- C. They must not be arbitrary or capricious.
- D. They must represent the exercise of professional judgment.

Faculty members who wish to invoke a grievance procedure against a negative promotion or tenure recommendation may do so at the college and/or university level. For details on the general grievance process, refer to the "University of Houston Promotion and Tenure Grievance Procedures," in *Appendix F, page 243*. Also, refer to UH General Grievance Procedures in *Appendix G, pages 244-245*.

Post-tenure Performance Review

See Board of Regents Policy 21.11 on Post-tenure Performance Review (<http://www.uhsa.uh.edu/board-of-regents/policies/index.php>)

University of Houston Post-tenure Review Policy

I. Preface

The University recognizes that the quality of the institution is directly dependent upon the quality of its faculty. The University is therefore committed to providing resources and policies which support the faculty's own efforts to enhance quality. These commitments are bonds uniting the University and its faculty in a common objective, the continued pursuit of academic excellence. These efforts to promote academic excellence confirm that the

university and faculty remain accountable and worthy recipients of the public's trust. Several current policies promote these objectives: (1) departments and colleges undertake highly selective, national searches and only outstanding candidates are offered tenure track employment; (2) newly appointed faculty members undergo a comprehensive third year review; (3) candidates for tenure undergo a rigorous screening process in their sixth year of employment; and (4) departments and colleges also conduct reviews of faculty members for merit raises. Any time an evaluation results in a finding of incompetence, neglect of duty or other good cause, the University may initiate action for dismissal and revocation of tenure.

Tenure serves as the protection for the several facets of academic freedom: of inquiry, of teaching and of the expression of opinion.

The post-tenure review is a performance evaluation process for all tenured faculty members. The evaluation is based on a peer review process to confirm that faculty members are meeting the expectations of their professional or scientific discipline.

II. UH Performance Evaluation of Tenured Faculty

- A. A comprehensive peer review of all full-time faculty is conducted annually at UH.
 1. This annual merit review is intended to function as the post-tenure review mandated by statute and Board policy. That is, it shall be a comprehensive performance evaluation, shall be based on the professional responsibilities of the faculty member in teaching, research, service, patient care, and administration, shall include peer review, and shall be directed towards the professional development of the faculty member, as required by section 51.942 of the Education Code.
 2. For the vast majority of faculty the result of the relative ratings of the annual merit review will itself constitute the satisfactory evaluation required for post-tenure review. Only when there is an apparent performance problem from the annual merit review will the reviewing body have to proceed to a further evaluation to assess the performance on the basis of the absolute performance standards established by the unit's tenured faculty. The primary evaluative period will start with the materials already assembled and reviewed for the annual merit review.
- B. The evaluation is a "rolling" 36 month one, with a judgment made on the overall preceding 36 months.

The overall judgment of performance based on 36 months protects the faculty member who, for personal or other reasons, may have a period (say a year) of less productive performance.
- C. The evaluation is based on the professional responsibilities of the faculty member, in teaching, research, service, patient care, and administration. The tenured faculty of each unit will establish the performance standard pending approval of the Chair, Dean, and Provost.
 1. The tenured faculty members of an academic discipline represent, by the very nature of their specialized knowledge and skills, the best group to develop standards by which to judge their colleagues.

2. A faculty member's administrative responsibilities shall be subject to the established annual review procedures for administrators as codified in Board of Regents Bylaws, System Administrative Memoranda, and University policies.
- D. The review process shall be directed towards the professional development of the faculty member.

III. Outcomes of Annual Performance Review

A. Satisfactory performance

A faculty member meets or exceeds the unit level performance standard and remains in the regular review process with possibility of merit pay raises.

B. Unsatisfactory

A faculty member's overall performance or his/her teaching performance falls below the unit standards. This establishes teaching as the dominant criterion in the evaluation.

C. Consequences

An initial unsatisfactory rating provides mandatory entrance into a Faculty Development Plan (FDP). Subsequent unsatisfactory ratings will result in an additional FDP or in other disciplinary actions, which may include, at the initiation of University administration, dismissal for cause under Board of Regents Policy 21.07.

- D. A rating of unsatisfactory does not establish a presumption that the faculty member has given "cause" for dismissal.

IV. The Post-tenure Review Process

- A. The tenured faculty members of a department, or in units without departments, shall elect a committee of tenured faculty members for the purpose of conducting the post-tenure review.

This is an essential peer review step, providing protection against arbitrary and capricious administrative actions.

- B. If a faculty member receives a rating of unsatisfactory, the tenured departmental faculty will meet and judge the case unless that faculty member chooses to omit this step. If the faculty deems the individual's performance unsatisfactory, the faculty member must receive in writing a statement of the performance deficiencies which resulted in the rating of unsatisfactory.
- C. The unit administrator (Chair or Dean) will work with the faculty member to develop and monitor the FDP. Such a plan must be approved by the Dean and Provost.
- D. The FDP has a maximum duration of two years. The faculty member will receive post-tenure evaluations as normal during the FDP to provide feedback. The committee's post-tenure review evaluation determines the outcome of the FDP on the basis of performance at the end of the process.
- E. The conclusion of the initial FDP will result in one of three actions:
1. Performance has improved sufficiently to be considered satisfactory.

2. Performance has improved sufficiently to provide cause for extension of the FDP for an additional period up to one year.
3. Performance remains unsatisfactory. This will lead to disciplinary action which may include, at the initiation of University administration, dismissal for cause under Board of Regents Policy 21.07.

The process described above provides sufficient time for performance changes and makes it clear that there will be a conclusion to that process.

V. Reporting Mechanisms

Deans must report annually to the Provost the names of the faculty members who are working on FDP's, the nature of the deficiencies, and the outcomes of those plans.

VI. Due Process and Grievance Procedures

- A. Faculty members have full access to the University grievance process with respect to their performance evaluations.
- B. A rating of unsatisfactory may be appealed to the Dean and the Provost, with the latter's decision being final.
- C. In accord with state law, a faculty member subject to revocation of tenure and dismissal on the basis of performance evaluations has the opportunity for referral of the matter to a non-binding alternative dispute resolution process.

Information on Board of Regents Policies is available at <http://www.uhsa.uh.edu/board-of-regents/policies/index.php>.

Grievances

Policy

Consistent with SAM 02.A.05, the University of Houston requires that all faculty be treated fairly and consistently in all matters related to their employment and provides faculty with the right to express their grievances through informal and formal avenues. Retaliation in any form against any faculty member for presenting a grievance is prohibited and is grievable as well.

This grievance policy applies to all faculty members as well as librarians of the University of Houston Libraries. This policy applies to grievances of any kind not covered by specific grievance policies, including but not limited to, matters of salary, hours and conditions of employment, promotions, assignment of teaching duties, and allotment of resources and facilities. (*For grievance procedures involving promotion and tenure, see pages 74-75 and 243.*)

Procedures

A multilevel procedure for redress of grievance is available to faculty members and librarians pursuant to this policy. These procedures involve first addressing the grievance through an informal process. It is expected that the majority of grievances will be resolved at this level. A formal grievance process can then be pursued if the grievance is not resolved informally. Under the formal process, a faculty member first files the formal grievance with the appropriate party (dean, college grievance committee, or university grievance committee). Opportunities for appeal are then available if the faculty member is not satisfied with the disposition of his/her grievance.

A. Informal Process

A faculty member should first attempt to resolve his/her grievance informally through discussions with appropriate administrative individuals such as the department chair or the dean. The Faculty and Staff Ombudsperson is also a resource for faculty in this informal process.

B. Formal Process

1. Formal Grievance Initiation

If the informal process does not alleviate the grievance, then the faculty member may petition the dean for redress of the grievance by filing a formal written grievance. If the grievance is against the chair or if the dean participated in the informal grievance process, the faculty member should file the formal grievance with the college grievance committee. If the grievance is against the dean, the faculty member should file the grievance with the University of Houston Grievance Committee. (See Appendix F, *page 243*, for procedures governing the review, investigations, and hearings of grievances by the University of Houston Grievance Committee.) All other grievances should be filed with the dean.

In filing the grievance, the faculty member should submit a written statement to the dean, college grievance committee, or university grievance committee that includes: the names of the parties involved in the grievance, specific issues and actions upon which the grievance is based, the desired outcome or remedy, and documentation supporting all charges involved in the grievance. In the presentation of his/her formal grievance the aggrieved may discuss the grievance personally, have a representative act in his/her behalf, or have a representative accompany him/her.

Recommendations/decisions rendered by the dean or the college grievance committee at this stage shall be in writing, setting forth the recommendations and reasons, and shall be transmitted promptly to the principal parties in the dispute. As indicated in Appendix F, *page 243*, decisions and reasons of the University of Houston Grievance Committee shall be transmitted by the Provost to the faculty member, the University of Houston Grievance Committee, the Chancellor/President, and other principal parties in the dispute.

2. Grievance Decision Appeals

When a grievance is initially filed with the dean, a faculty member can appeal decisions at the college or school level and the university level. Decisions in grievances initially filed with the college grievance committee may be appealed at the university level. Appendix F, *page 243*, addresses the reconsideration of grievances decided at the university level.

a. College or School Appeal Level

If the aggrieved person is not satisfied with the disposition of his/her grievance by the dean and wishes to appeal it, s/he must submit the appeal in writing to his/her college grievance committee within ten working days of notification of the dean's decision. If no decision has been rendered within fifteen working days after the grievance is presented formally to the dean, the aggrieved person must submit the grievance in writing to his/her college grievance committee within five additional working days (a total of 20 working days from the date the grievance was first formally filed). If s/he fails to appeal within the time limits set out above, s/he waives the right to further consideration of that grievance.

Each college grievance committee shall consist of at least three tenured faculty members, and shall in any case have a majority of tenured faculty members, who shall be elected by the full-time faculty of the college according to its own published procedures. No member of the administration including deans, assistant or associate deans, and department chairs shall be eligible for membership on the committee. The committee shall establish its own procedures within the limitations established by its college constitution and bylaws. Committee members will be recused from hearing any grievances in which they were involved at a previous level of review or in which they have a personal involvement.

Recommendations rendered by the college grievance committee shall be in writing, setting forth the recommendations and the committee's reasons, and shall be transmitted promptly to the principal parties in the dispute.

If the dean finds the college grievance committee's recommendation unacceptable or impossible to implement, s/he must state this in writing and transmit the statement to the aggrieved person and to the college grievance committee within ten working days of that committee's decision.

b. University Appeal Level

If the aggrieved person is not satisfied with the disposition of his/her grievance by the college grievance committee (or the dean's statement of unacceptability or impossibility) and wishes to appeal it, s/he must submit the grievance within ten working days of receiving written notification of that college grievance committee's decision (or correspondingly within ten working days of the dean's statement) to the

University of Houston Grievance Committee. If no decision has been rendered by the college grievance committee within six weeks after the grievance is submitted to the college committee, the aggrieved faculty member must submit the grievance to the University Grievance Committee within five additional days. When the college is not the appropriate level for redress, a faculty member may submit a written grievance directly to the University of Houston Grievance Committee. In all cases the University of Houston Grievance Committee shall determine whether it is the appropriate level for redress of the grievance. Committee members will be recused from hearing any grievances in which they were involved at a previous level of review or in which they have a personal involvement.

The procedures governing the review, investigations, and hearings of grievances at the University of Houston may be found in Appendix F, page 243.

Grievance Policy and Procedures for Graduate, Professional, and Post-baccalaureate Students

For Grievance Policy and Procedures for Graduate, Professional, and Post-baccalaureate Students, see Appendix H, pages 246-247.

For more information call the Office of Graduate and Professional Studies at 713-743-9088, or visit the website at <http://www.uh.edu/gs/>.

Faculty Dismissal

(UHS Board of Regents policy 21.07)

Dismissal is the termination of employment of a tenured faculty member in the University of Houston System, or of a probationary or non-tenured faculty member before the annual term of appointment has expired.

Each component university through its faculty governance processes shall develop policies and procedures pertaining to dismissal of faculty members. Such policies must be consistent with those specified herein and must be approved by the Chancellor/President.

Dismissal of a faculty member requires Board action.

Assurances

University policies and procedures for faculty dismissals must ensure that:

- A. The rights of the individual to due process are protected;
- B. Dismissal shall not violate the constitutionally protected rights of an individual and shall not be used to restrain faculty members in their exercise of academic freedom;
- C. Dismissal procedures provide for timely written notice of impending dismissal, that specifies the grounds on which dismissal is sought;
- D. A faculty member notified of impending dismissal has the option of a hearing before an impartial faculty tribunal designated by the established procedures of the particular component university; and
- E. The burden of proof in dismissal proceedings rests with the university.

Justifications

Dismissal may be justified by one or more of the following:

A. **Adequate Cause.** Termination for adequate cause may include:

1. grounds related to dishonesty, or to demonstrated professional incompetence in teaching or research;
2. grounds related to substantial and manifest neglect of professional or academic responsibilities; or
3. grounds related to actions that would result in a general condemnation of the faculty member by the U.S. academic community.

B. **Financial Exigency.** Termination of employment may be justified by a demonstrated and *bona fide* imminent financial crisis that threatens the continuation of the academic programs in their present form, and that cannot be alleviated by other means. The university will develop criteria and procedures to determine whether a state of financial exigency exists. Standards so developed will include provisions for faculty involvement in the determination and for a minimum twelve-month notice of termination of appointment to tenured faculty. Untenured faculty will be given notice consistent with the university's non-reappointment guidelines.

(See pages 79-81 for the University's Financial Exigency Procedure.)

C. **Health Related Reasons.** Termination of employment may be justified by clear and convincing medical evidence that the faculty member cannot fulfill professional and academic obligations, or the terms and conditions of appointment, with reasonable accommodation.

D. **Discontinuance of Academic Programs.** Termination of employment may be based on the discontinuance of an academic program reflecting long-range judgments concerning the educational mission of the university. Tenured faculty will be given notice eighteen months prior to termination of employment due to discontinuance of academic programs. *(See pages 81-83.)* Untenured faculty will be given notice consistent with university non-reappointment guidelines. *(See pages 65-66.)*

In the event of dismissal of faculty by reason of financial exigency or discontinuation of academic programs, the university's administration will make every reasonable effort to place affected faculty in other positions. A faculty member with tenure will not be dismissed in favor of retaining a faculty member without tenure except in extraordinary circumstances where a distortion of the academic program would otherwise result.

Dismissal of Faculty Members with Tenure and Special or Probationary Appointments before the End of the Specified Term of Appointment

In conformance with UHS Board of Regents Policy 21.07, the termination or dismissal of a faculty member with tenure, or the dismissal of a non-tenured faculty member with a special or probationary appointment before the end of the specified term of appointment, may be effected only for adequate cause or for medical reasons. Tenured or non-tenured faculty may be dismissed in the case of circumstances due to *bona fide* financial exigency or to discontinuance of a program or academic department. (*See page 42 for the definition of term of appointment.*) In all cases, the faculty member shall be informed in writing by the Chancellor/President or his/her designee of the basis for the termination or dismissal.

Dismissal for Cause

Adequate cause may include those grounds indicated above, *page 76*. Dismissal shall not be used to restrain faculty members in their exercise of academic freedom or other legal rights.

When the decision for termination is based upon adequate cause, dismissal of the faculty member shall be preceded by a written statement of charges, framed with reasonable particularity, from the Chancellor/President or his/her designee, and by the filing of the charges with the Grievance Committee and the notification in writing to the faculty member against whom the charges have been filed. A copy of such written charges shall be filed with the dean of the college or school of the faculty member. The remainder of the dismissal proceedings shall be preceded by discussions between the faculty member and appropriate college dean and department chair looking toward a mutual settlement, and an informal inquiry by the Grievance Committee, which may, failing to effect a resolution, advise the Chancellor/President whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding.

If the Chancellor/President or his/her designee determines to undertake dismissal proceedings, the proceedings shall be governed by the provisions for Dismissal Hearing Procedures which may be found in *Appendix I, pages 248-249*.

Disposition of Recommendations of Dismissal Hearing Committee

On completion of the hearing committee's work:

- A. The Chancellor/President, the Provost, and the faculty member shall be notified in writing of the decision of the ad hoc hearing committee and shall be given a copy of the record of the hearing.
- B. After studying the report, the Chancellor/President shall submit his/her recommendation to the Board of Regents. If the recommendation differs from that of the committee, the Chancellor/President shall state his/her reasons for disagreement in writing to the hearing committee and to the faculty member, and shall provide an opportunity for response before transmitting the case to the Board.
- C. If dismissal or other severe sanction is recommended, the Chancellor/President shall, on request of the faculty member, transmit the record of the case to the Board of Regents. The review shall be based on the record of the committee hearing, and the Board shall provide opportunity for a statement, oral or written or both, by the faculty member and that person initiating the dismissal proceedings or by their representative.

- D. Either the decision of the hearing committee shall be sustained by the Board, or the proceeding shall be returned to the Chancellor/President, with specific objections, for reconsideration by the committee. The committee shall reconsider, taking into account the stated objections and receiving new evidence if necessary. The Chancellor/President shall then forward the results of the reconsideration, along with his/her own recommendation to the Board of Regents, who, after study of the reconsideration, shall make the final decision.

Termination Proceedings

If the appointment is terminated for any of the reasons (*see Justifications, page 76*) defined above, the faculty member shall receive salary until the effective date of termination, except in the case where salary has been discontinued during suspension. On the recommendation of the faculty hearing committee, the Chancellor/President, in determining the date of termination, may take into account the length and quality of service of the faculty member. Notice of the date of termination shall normally be given in accordance with the following schedule: at least three months, if the final decision is reached by March 1 (or three months prior to the expiration) of the first year of probationary service; at least six months, if the decision is reached after six months of probationary service, or if the faculty member has tenure. This provision for terminal notice of salary need not apply in the event there has been a finding that the conduct which justified dismissal involved dishonesty in teaching or research, neglect of duty, or unfitness of the faculty member in his/her professional capacity as a teacher or researcher, in which case termination may be immediate and requires no prior notice.

Dismissal for Health-related Reasons

Termination of a tenured appointment or of a non-tenured or special appointment before the end of the period of appointment for health-related reasons shall be based upon clear and convincing evidence. The decision to terminate shall be reached only after there has been appropriate consultation and the faculty member or his/her representative has been informed of the basis of the proposed action, and has been afforded an opportunity to present his/her position and to respond to the evidence. If the faculty member so requests, the evidence shall be reviewed by the Grievance Committee before a final decision is made by the Board of Regents on the recommendation of the Chancellor/President.

Dismissal for Reasons of Financial Exigency or Discontinuance of a Program

When the decision for termination is based upon *bona fide* financial exigency or discontinuance of a program or academic department, faculty members shall be able to have the issues reviewed by the Grievance Committee, with ultimate review of all controverted issues by the Chancellor/President. In every case of financial exigency or discontinuance of a program or academic department, the faculty member concerned shall be given notice as prescribed in paragraph H (*page 80*) or paragraph G (*page 82*). Before terminating an appointment because of the discontinuance of a program or academic department, the University of Houston shall make every effort to place affected faculty members in other suitable positions.

If the faculty member's appointment is terminated before the end of the period of appointment either because of financial exigency or because of the discontinuance of an academic department, the released faculty member's place shall not be filled by a replacement for at least three years, unless the faculty member has been offered reappointment and a reasonable time within which to accept or decline it.

Financial Exigency Policy

This policy applies only to tenured and tenure track faculty.

- A. **Definition of Financial Exigency.** For the purposes of this policy, a financial exigency is an actual or impending financial crisis that threatens the survival of the university in its current structure and which cannot be alleviated by less drastic measures than terminating tenured and tenure track faculty. Words like "crisis" and "survival" are used to make it clear that an exigency must involve extremely serious financial problems, and not merely minor or temporary budget difficulties. Further, the financial problems must threaten the existence of the entire university, and not just a part thereof. The definition of financial exigency also embodies its primary consequence, the authority to dismiss tenured and tenure track faculty. This is a drastic step that should be taken only after all reasonable alternatives have been exhausted. The declaration of an exigency requires that the dismissal of tenured and tenure track faculty is likely, even if such dismissals are not imminent.
- B. **Consultation Prior to Declaration of Exigency.** When the Chancellor/President believes a *bona fide* financial exigency exists, s/he shall promptly inform and seek the advice of the Council of Deans and the Faculty Senate. The request for advice shall be accompanied by written supporting documentation, including detailed financial data. The Faculty Senate shall promptly inform and seek the advice of the appropriate groups including the Undergraduate Council, the Graduate and Professional Studies Council, the Research Council, and the Student Government Association. Each group will be invited to present its reactions to the Faculty Senate. The Faculty Senate, in accordance with its bylaws, will in turn, provide advice and consultation to the Chancellor/President about the declaration of an exigency. Disagreements should be noted by the Faculty Senate, and groups that disagree with the positions taken by the Faculty Senate can present their views directly to the Chancellor/President. The Chancellor/President will provide advice and consultation to the Board of Regents.
- C. **Declaration of Financial Exigency.** The decision to declare a financial Exigency may be made only by the Board of Regents. Before declaring a financial exigency, the Board must meet in open session to consider the positions of the Chancellor/President and the Faculty Senate. The declaration of an exigency requires the affirmative vote of the Board according to procedures established in its bylaws.
- D. **Consultation during Exigency.** After the declaration of an exigency, major steps for dealing with the financial crisis will be reviewed jointly by the Chancellor/President and the Faculty Senate. Proposals to terminate or significantly alter academic programs shall be submitted for consideration to the existing academic review committees by the Chancellor/President.
- E. **Plan for Retrenchment.** A retrenchment plan must be approved by the Board of Regents before actions are taken pursuant to a declaration of financial exigency. Prior to the approval of a plan, or the amendment of an existing plan, the Board must meet in open session to consider the positions of the Chancellor/President and the Faculty Senate. Termination of faculty appointments or major changes in academic programs must conform with the principles established in the plan, as well as the provisions of this document. The plan may provide for the termination of tenured faculty in one program while untenured faculty are retained in another program. Academic considerations will be primary in making program and personnel decisions.

- F. **Consideration of Less Drastic Alternatives Prior to Termination of Faculty.** Prior to issuing notices of dismissal to tenured and tenure track faculty or canceling academic programs, the Chancellor/President shall give careful consideration to all reasonable alternatives including but not limited to the following:
1. An early retirement program.
 2. Voluntary leaves of absence or part-time employment.
 3. Transfer of faculty to other positions with the University of Houston for which they are qualified.
 4. Reduction or postponement of non-academic expenses.
 5. Sale of assets and other means to increase revenue.
- G. **Order of Termination.** Except in extraordinary circumstances where a serious distortion of an academic program would otherwise result, non-tenure track faculty within a program shall be terminated before any tenure track faculty are terminated, and any untenured faculty within a program shall be terminated before any tenured faculty are terminated. Where consistent with the academic needs of the university, preference shall be given to tenured faculty of higher rank, and to more senior faculty within the same rank.
- H. **Termination Notice and Procedure.** Termination of tenured faculty and tenure track faculty with at least eighteen months probationary service requires notice of at least twelve months. Tenure track faculty in the first year of probationary service will be given notice of termination at least three months before the end of the academic year. Tenure track faculty in the second year of probationary service must be given notice of termination at least six months before the end of the academic year. Recommendations for the dismissal of tenured and tenure track faculty are initiated by the Chancellor/President. The final decision is made with the concurrence of the Board of Regents. In all cases the administration shall exercise due diligence to ensure that actions taken to give notice of termination conform to all applicable state and federal laws.
- I. **Procedures for Review of Personnel Actions Based on Financial Exigency.** Any faculty member who is given notice of termination or is subject to a personnel action that would be prohibited in the absence of an exigency is entitled to a hearing before the designated faculty body specified in the University of Houston *Faculty Handbook*. Among the issues to be considered by the review panels are:
1. Disagreements concerning the existence and extent of a *bona fide* exigency.
 2. Adherence to the plan for retrenchment.
 3. Compliance with procedural requirements.
 4. Improper motives related to academic freedom, race, national origin, religion, age, handicap, veteran's status, gender, or sexual orientation in the dismissal of a faculty member.
- The burden of proof in dismissal proceedings rests with the university. The findings of the Faculty Senate regarding the existence of a financial exigency may be introduced in review proceedings.
- J. **Policies Related to Financial Exigency.** The following policies will be followed with regard to tenured and tenure track faculty dismissed due to financial exigency.

1. Job placement services will be provided.
2. Eligibility to participate in state premium sharing and group insurance programs sponsored by the university will continue at least until the end of the notice period. Eligibility for 18 months of additional coverage is available through Consolidated Omnibus Budget Reconciliation Act (COBRA) without premium sharing. The individual will pay the full cost.
3. From the time notice is given until the termination of assigned duties, terminated faculty members are entitled to enroll in courses for credit without payment of tuition or fees, provided that the faculty can **(a)** meet fundamental job obligations and **(b)** meet the requirements for admission to the course or program. The provision in the *Faculty Handbook* regarding "Graduate Work by Faculty" shall not apply.
4. If faculty positions terminated in a *bona fide* financial exigency become available within three years of such termination, the university shall offer those positions to qualified faculty members terminated under the financial exigency. If that faculty member is rehired to his/her position, s/he will assume the same seniority, including tenure and rank, as was previously held.

New academic and administrative appointments will not be made while a financial exigency is in effect, unless a serious disruption in the academic program would otherwise result.

- K. Termination of Exigency.** The declaration of a financial exigency by the Board of Regents shall be for a specified period of time not to exceed two years, unless extended after compliance with the same procedures as required for the initial declaration of exigency. The Board of Regents may, by majority vote, terminate a financial exigency at any time. However, nothing in this section shall imply that notice of dismissal issued to any individual during a period of declared exigency is automatically withdrawn or otherwise invalid.

Policy for the Termination of Faculty Due to the Discontinuance of a Program, Department, or College for Reasons Other Than Financial Exigency

This policy covers only those situations which involve the termination of tenured and tenure track faculty because of discontinuance of a program, department, or college (whose creation or initiation would require approval by the Board of Regents).

- A. Process for Discontinuance.** The recommendation to discontinue a program, department, or college shall be made by the Chancellor/President on the basis of educational considerations and only after consultation and review as set forth herein.
- B. Consultation Prior to Discontinuance.** When the Chancellor/President believes that a discontinuance which may involve the termination of tenured or tenure track faculty is necessary, he or she shall inform and seek the advice of the Council of Deans and the Faculty Senate. The request for advice shall be accompanied by written supporting documentation. The Faculty Senate shall promptly inform and seek the advice of the appropriate groups including the Undergraduate Council, the Graduate and Professional Studies Council, the Research Council, the Staff Council, and the Student Government Association. Each group will be invited to present a response to the Faculty Senate. The Faculty Senate will, in turn, provide advice and consultation to the Chancellor/President. Disagreements should be noted

by the Faculty Senate, and groups that disagree with the position taken by the Faculty Senate may present their views directly to the Chancellor/President.

- C. **Declaration of Discontinuance.** The decision to discontinue a program, department, or college may be made only by the Board of Regents. A plan, approved through appropriate channels of consultation, will be presented by the Chancellor/President to the Board of Regents before action is taken pursuant to discontinuance. Prior to the approval of a plan or the amendment of an existing plan, the Board must meet in open session to consider the position(s) of the Chancellor/President and the Faculty Senate. Termination of faculty appointments or major changes in academic programs must conform with principles established in the plan, as well as the provisions of this document. The plan may provide for the termination of tenured faculty in one program while untenured faculty are retained in another program. Academic considerations will be primary in making program and personnel decisions. The discontinuance requires the affirmative vote of the Board according to procedures established in its bylaws.
- D. **Consultation.** After the decision to discontinue, major steps for dealing with the affected parties will be reviewed jointly by the Chancellor/President and the Faculty Senate.
- E. **Consideration of Less Drastic Alternatives Prior to Termination of Faculty.** Prior to issuing notices of dismissal to tenured and tenure track faculty or canceling academic programs, the Chancellor/President shall give careful consideration to all reasonable alternatives, including but not limited to the following:
1. An early retirement program.
 2. Voluntary leaves of absence or part-time employment.
 3. Transfer of faculty to other positions within the University of Houston for which they are qualified.
 4. Retraining faculty for positions within the University of Houston.
- F. **Order of Termination.** Except in circumstances where a serious distortion of an academic program would otherwise result, non-tenure track faculty within a program shall be terminated before any tenure track faculty are terminated, and untenured faculty within a program shall be terminated before any tenured faculty are terminated. Where consistent with the academic needs of the university, preference shall be given to tenured faculty of higher rank, and to more senior faculty within the same rank. Care must be taken to consider the employment of groups entitled to affirmative action.
- G. **Termination Notice and Procedure.** Termination of tenured faculty and tenure track faculty with at least eighteen months probationary service requires notice of at least twelve months. Tenure track faculty in the first year of probationary service must be given notice of termination at least three months before the end of the academic year. Tenure track faculty in the second year of probationary service must be given notice of termination at least six months before the end of the academic year. Recommendations for the dismissal of tenured and tenure track faculty are initiated by the Chancellor/President. The final decision is made by the Board of Regents. In all cases the Chancellor/President shall exercise due diligence to ensure that actions taken to give notice of termination conform to all applicable state and federal law.
- H. **Procedures for Review of Personnel Actions Based on Discontinuance.** Any faculty member who is given notice of termination is entitled to a hearing before the designated faculty body, as specified in the University of Houston *Faculty Handbook* (see *Faculty Senate*

Constitution, Bylaw Thirteen, page 213). Among the issues to be considered by review panels are:

1. Disagreements concerning the need to discontinue.
2. Adherence to the plan to discontinue.
3. Compliance with procedural requirements.
4. Improper motives related to academic freedom, race, national origin, religion, age, handicap, veteran's status, gender, or sexual orientation in the dismissal of a faculty member.

The burden of proof in dismissal proceedings rests with the university. The findings of the Faculty Senate regarding the discontinuance may be introduced in review proceedings.

I. **Faculty Dismissal Policies Related to Discontinuance.** The following policies will be followed with regard to tenured and tenure track faculty dismissed due to discontinuance:

1. Job placement services will be provided.
2. Eligibility to participate in state premium sharing and group insurance programs sponsored by the university will continue at least until the end of the notice period. Eligibility for eighteen months of additional coverage is available through the Consolidated Omnibus Budget Reconciliation Act (COBRA) without premium sharing. The individual will pay the full cost.
3. From the time notice is given until the termination of assigned duties, terminated faculty members are entitled to enroll in courses for credit without payment of tuition or fees, provided that the faculty can **(a)** meet fundamental job obligations and **(b)** meet the requirements for admission to the course or program. The provision in the *Faculty Handbook* regarding "Graduate Work by Faculty" shall not apply.
4. Any terminated faculty position advertised or filled within three years of the date of termination shall be offered first to the faculty member who previously held that position. If that faculty member is rehired to his/her position, s/he will assume the same seniority, including tenure and rank, as was previously held.

Alterations in Conditions of Employment

Voluntary Modification of Employment (VMOE)

- A. **Eligibility:** Full-time faculty who have reached age 55 and have been enrolled in the Texas Teacher Retirement System (TRS) or in an approved Optional Retirement Program (ORP) for at least ten years may be considered for participation.
- B. **Qualifications:** The following qualifications of employment must apply for those faculty approved for participation in the program:
 1. Status as a full-time faculty member shall be relinquished, including tenure rights but not academic freedom.
 2. Teaching and other work assignments may be negotiated on an individual basis, but may not exceed 49 percent full-time employment (FTE) for the academic year. Such negotiated agreement must be in writing and signed by the faculty member and the Senior Vice President for Academic Affairs or designee.

3. Compensation to the faculty member during the VMOE period shall be negotiated and reflect the percent of full-time equivalent status.
 4. The eligibility of a participant to receive retirement benefits shall be governed by state laws and regulations pertaining to such eligibility and, in the case of individuals enrolled in the Optional Retirement Program, the terms and conditions specified by contractual agreement of the individual with the particular provider.
- C. **Benefits:** Depending upon space availability and current budgetary considerations at the time of VMOE approval, the participant may be entitled to amenities normally afforded full-time faculty to include, but not be limited to, office space, library and parking privileges, and clerical support, authority to be principal investigator on grants, to supervise graduate students and to serve on and chair thesis and dissertation committees. In addition, the individual shall have the option to participate in health and life insurance programs to the extent provided by the state or by the university for retirees. (Information concerning such insurance benefits is available from the university benefits office.) Participation in the Texas Teacher Retirement System, Optional Retirement Programs, or tax deferred annuities is not available to the faculty member.
- D. **Duration:** A negotiated agreement for VMOE shall be for an initial period of time not to exceed five years and may be renewed annually thereafter by mutual agreement.

University of Houston Procedures

- A. Applications and recommendations for VMOE should be forwarded from the department chair to the dean to the Provost no later than four months prior to the effective date that retirement is to take effect.
- B. A faculty member who is accepted in this program will be notified by the dean of such participation within two months of his/her application. After agreement between the individual and the university with regard to the VMOE, the faculty member will relinquish his/her tenured status.
- C. Following the VMOE agreement, the university will employ the faculty member at a semester workload less than half of the normal workload for full-time faculty. Such agreement initially shall be for a maximum of five years, renewable annually thereafter. At the beginning of each academic year the individual and department chair shall agree, in writing, to the activities and duties that will constitute the faculty member's workload for the VMOE agreement.
- D. For such reduced workload, and during its continuance, the university will pay the participant a compensation to be determined as follows:

For faculty on VMOE during the first year of such reduced workload, the salary of the participant will be the percentage of the full-time salary for the academic year equal to the percentage of the contracted workload. At the option of the participant, such salary will be paid in either nine or twelve equal installments. In subsequent years, the salary will be incremented by an amount not less than that corresponding to any state-mandated pay increments for all employees. In addition faculty will be considered for merit increments according to college bylaws from any merit funds allocated by the state or the university.
- E. Failure of the participant to perform duties under the VMOE agreement may be considered a breach of the agreement. At the end of such academic year, the obligation of the university under this policy shall be terminated.

If a dispute arises regarding the ability of the faculty member to continue in his/her capacity under the terms of the agreement, the faculty member agrees (as part of the VMOE agreement) that the university shall have the right to have the faculty member examined by an appropriate licensed health care provider of the university's choosing to determine capability. The physician's findings shall be obtained as a signed written statement, a copy of which is to be provided to the faculty member and his/her legal counsel if such has been retained. The statement shall include a determination as to the fitness of the participant to continue to perform the conditions of the contract and shall be binding on both parties. A period of six months must elapse before the faculty member can again be examined medically in this regard should s/he be found able to continue by the examiner.

- F. Should state or federal law change or be interpreted to prohibit the purpose of any provision of this agreement, the participant shall, if s/he chooses, be reinstated by the university to the rank and salary held at the date of his/her election to participate in the VMOE program. In the event of such reinstatement, however, the participant who had opted for retirement and collected retirement benefits may not be a member of the Teacher Retirement System of Texas or of the Optional Retirement Program, except as provided by law. A TRS or ORP participant who is reinstated will be subject to all laws and rules governing employment after retirement, including those providing for forfeiture of benefits received for the period during which s/he had returned to full-time status. Group insurance benefits under the Employment Retirement System of Texas will remain at the retiree level should the participant be reinstated to his/her former rank.
- G. A participant shall be entitled to all the benefits and amenities as allowed by state law and for which s/he qualifies including participation in retiree medical group and limited life insurance plans, but excluding participation in TRS, ORP, other tax-deferred annuities offered at the university, and cafeteria plans offered under Section 125 of the Internal Revenue Code.
- H. A participant's eligibility to draw retirement benefits from TRS or an ORP contract and his/her eligibility for membership in TRS or ORP will be governed by the laws and rules governing such eligibility.

Leaves without Pay

Extended leaves of absence without pay may be granted to full-time employees based upon individual consideration. Normally the purpose of such leaves is to develop or enhance the individual's total effectiveness to the benefit of the university. Leaves without pay will be granted for a maximum of 12 months. However, the Chancellor/President may grant a request for an extension to allow a faculty member to work for another governmental entity under an interagency agreement or for educational purposes. (Extension of the leave without pay beyond 12 months may not include eligibility for extension of benefits; eligibility is subject to verification by the Benefits section of Human Resources Department.)

Other circumstances, such as extended illness or personal reasons, may also justify the granting of extended leave. Leave without pay is not an inherent right but is the prerogative of the university. The Provost must approve leaves without pay for faculty.

During a period of leave without pay, seniority is not considered to be interrupted, but benefits associated with pay status are affected. All group insurance programs except long-term disability and short-term disability may be continued in force for 12 months (or 24 months if the leave is for educational purposes) by advance payments of full premiums. Long-term disability and short-term

disability automatically terminate at the beginning of the leave of absence without pay. They may be reinstated upon return to an active status without providing evidence of insurability. Continuation of other group insurance programs beyond 12 (24) months is available under COBRA provisions only in the event of termination of employment. If the leave without pay extends beyond 12 months (24 for educational purposes), the employee may apply to convert medical, dental, and life programs to individual policies. No premium-sharing contributions are provided during a leave without pay. Contributions to flexible-spending dependent care accounts are suspended during a leave without pay. Contributions to flexible-spending health care accounts are suspended during a leave without pay if the participant has not made a contribution to the account for the current year. If at least one contribution has been made to a health care account during the current year, the participant must make the full annual contribution, either from the last payroll check or through payment by personal check. Tax-deferred annuities are suspended unless provided by another eligible employer. Social Security coverage ceases unless the individual is employed by another covered employer. Leave-with-pay benefits do not accrue during a period of leave without pay.

Membership in the Teacher Retirement System or the Optional Retirement Program is suspended, and contributions may not be withdrawn without the action being considered as a resignation. Under certain circumstances, retirement credit with the Teacher Retirement System of Texas can be purchased by the employee upon return from leave; these circumstances should be investigated by the faculty member before entering upon leave-without-pay status as prior approval is required by the Teacher Retirement System of Texas.

Other Temporary Leaves

All absences of members of the faculty shall be reported to the appropriate department chair, dean, or director, and on Time and Effort Reports. Absences extending over more than three consecutive weeks must be reported to the Provost.

Emergency Leave

The university provides emergency leave with pay in the event of a death within the immediate family. Immediate family or spouse's immediate family is defined as spouse, children, parents, brothers, sisters, grandparents, or grandchildren, including in-laws. Emergency leave cannot be accumulated. Length of emergency leave shall be determined at the discretion of the Chancellor/President or his/her designee. Other reasons besides death of a family member may also be available, at the discretion of the Chancellor/President, according to state law.

Jury and Witness Service

No employee shall sustain a loss of regular compensation when called upon for jury duty or to testify at the order of a court or other agency of government or upon the request of the university. Specific regulations about the compensation for such service and for out of town travel expenses may be obtained from the Human Resources Department.

Military Duty

University employees are granted leaves for military duty of three types: National Guard Duty—leave granted with pay if called by the Governor because of an emergency; United States Armed Forces—leave granted without benefits except state service credit when reserves are called to active duty; Military Reserve Training—leave granted with pay up to 15 days per calendar year.

Volunteer Fireman Training

Faculty may be granted paid leave to attend training schools provided by state agencies, up to five days per calendar year.

Note: Employees cannot charge leave to sick or vacation leave.

Seeing-Eye Dog Training

Faculty may be granted paid leave of up to ten days per calendar year to attend a training program to acquaint a blind employee with the seeing-eye dog to be used by the employee.

For additional information: Human Resources Customer Service Center, 713-743-3988, or visit the website at <http://www.uh.edu/admin/hr/>.

Professional Responsibilities

Academic Workload

University of Houston Policy, Rules and Regulations

In accordance with UHS Board of Regents; policy 21.05, the University of Houston has developed the following faculty academic workload rules and regulations.

The general workload responsibilities of a faculty member at a complex institution such as the University of Houston can neither be defined simply nor summarized easily. Faculty members have fundamental obligations above and beyond organized teaching and research. They perform their normal classroom duties and carry out a multitude of essential functions including, but not limited to, academic advising and counseling, the supervision of undergraduate and graduate students, direction of individual study, special projects, theses and dissertations, and curriculum development. In addition, they accept many institutional and public service obligations.

The variety of faculty responsibilities that must be undertaken for the university to function in an effective and efficient manner makes it impossible to equate faculty workload with the sum total of semester credit hours taught, or with any other single criterion. Indeed, it is inappropriate to adopt any measure of faculty workload that is fundamentally numerical in nature without consideration of qualitative issues. While recognizing these facts, however, the university must develop a minimum teaching load requirement and report its fulfillment to the state. This is necessary to comply with the Texas Education Code, to meet the expectations of the Legislature for direct instructional activities tied to compensation from the faculty salary appropriation line item, and to quantify for all university constituencies the basic commitment the faculty have to the students at the University of Houston.

These institutional rules and regulations distinguish between *minimum teaching load requirements* and *general workload requirements*. While the university requires that every faculty member fulfill a certain minimum teaching load and assume a comparably high level of general workload, it does not insist that each one have the same teaching load. The university administration will provide chairs of individual academic units the flexibility to achieve maximum effectiveness in teaching effort as related to student enrollment and to adjust each individual's instructional assignment within the regulations and standards stated below. Each department chair and college dean must certify that the duties of each faculty member actually constitute an appropriate workload responsibility in accordance with the following rules and regulations, which have been approved by the University of Houston Board of Regents.

The minimum faculty teaching load requirement described in this policy does not apply to graduate teaching assistants. The Provost, as the chief academic officer of the university, is responsible for assuring that all teaching assistants are carefully supervised.

General Workload Expectations

Given the quality and variety of work necessary to support this university's fundamental obligation to the discovery, transmission, and application of knowledge, there always will be a significant differential between a faculty member's minimal requirements and his/her total actual commitment of time and energy. General workload expectations vary greatly by academic department, discipline, and college. Therefore, specific common workload expectation criteria are not delineated for the university. The regulation of general workload requirements is the responsibility

of the appropriate department chair and college dean. New faculty should be informed at the time of hire of the discipline specific general workload requirements associated with the department or college. An individual's fulfillment of these requirements should be used when evaluating merit, in promotion and tenure decisions, as well as in the post-tenure review process.

Faculty Workload Assignments and Professional Activities

Only participation in the specific professional activities listed below, which are defined in state regulations as "faculty salary elements of cost," qualifies a faculty member for compensation from the faculty salary appropriation line. In defining those general workload activities that can be supported from the faculty salary appropriation line, each college must adhere to the following categories:

- A. Direct instructional activities, which include interaction with students related to instruction, preparation for such instruction, and evaluation of student performance. The various types of instruction include: lecture, laboratory, practicum, seminar, independent study, private lessons, alternative learning activities, and supervision of theses and dissertations.
- B. Administrative assignments that directly support the institution's teaching function, e.g., department chairs, graduate directors, undergraduate directors, and coordinators of special programs or multi-section courses.
- C. Basic and applied research, professional development and service activities that directly support the institution's teaching and research function. Professional development activities are those activities which enable faculty members to enhance their teaching and research knowledge and/or capabilities and thus improve significantly the university's capabilities.

Minimum Teaching Load Requirements

The University of Houston must comply with two different teaching load requirements. The first concerns an average of organized classes within the university. The second concerns an average of instructional hours per faculty member within a department.

Each department shall be required to produce eighteen teaching load equivalency hours per faculty FTE Minimum paid from the appropriation item "faculty salaries" during each academic year (fall and spring semesters). For example, a department with 12.3 state instructional FTE faculty must produce at least 221.4 equivalency hours ($12.3 * 18 = 221.4$) during the fall and spring semesters of each academic year from courses or appropriate activities by the individuals holding these appointments.

To comply with Texas Higher Education Coordinating Board policies, each year the university must account for a minimum of two organized courses per semester per faculty member averaged across the campus and averaged also across the fall/spring semesters. Each academic unit should reach that average internally. If the unit finds it necessary to go below that average, permission must be given at the next higher administrative level. Each semester a report must be filed by each unit with the next higher administrative level.

Faculty paid, in full or in part, from a source of funds other than the faculty salary element of cost will have no minimum teaching load requirement associated with these appointments or portion of appointments. When more than one faculty member participates in the instruction of a single course section, the teaching hours are proportioned according to the effort expended per faculty member. Load adjustments are permitted for the teaching load equivalencies listed below,

but such adjustments must have the appropriate approvals at the college and university levels when specified.

Teaching loads will, of course, fluctuate because of illness, sudden emergencies, and unforeseeable needs, which may force a faculty member to accept a higher load temporarily or to request a lighter load during a stated period. All temporary exceptions to the basic teaching load policy should be in writing and should carry the approval of the dean of the appropriate college. Chairs and deans are encouraged to ask outstanding faculty to offer courses central to the unit's teaching mission, if appropriate.

No two colleges at the University of Houston are identical in the mixture and nature of teaching responsibilities expected of individual faculty in order to meet student needs. Each dean should require direct instructional activities in excess of the university minimum teaching load whenever such duties are necessary to meet the college's obligations to students. Each college or disciplinary area must establish a minimum greater than the university minimum if required to meet the instructional obligations of the college to students and to operate effectively within the available level of faculty salary resources. No college may adopt a minimum teaching load requirement below the university's minimum stipulated in this policy. Colleges may, however, have additional stipulations so long as they do not conflict with the general policy. Workload policies for colleges that have included additional requirements must be available in the office of the dean of the college or in the Office of the Provost.

Teaching Load Equivalencies

Instruction of regularly scheduled organized undergraduate courses, except as specified in adjustments B and G below, shall provide teaching load hours at the rate of one hour per each contact hour of instruction per week per long semester. Teaching load equivalencies for other types of instruction and instructional administration are defined in the following adjustments.

- A. One contact hour of organized graduate instruction is equivalent to one and one-half contact hours of organized undergraduate instruction.
- B. Instruction of regularly scheduled laboratory courses, physical-activity courses, and studio art and studio music instruction shall provide teaching load units at the rate of two units of teaching load for each three contact hours of instruction per week per long semester.
- C. Supervision of practice student teachers and clinical and intern supervision shall be credited such that 24 contact hours per week is equivalent to nine units of teaching load. This adjustment must be reported by the department, approved by the college dean, and reported to the administration on the [Additional Duties](#) form (below).
- D. Supervision of student practicum courses and teaching credit for individual instruction courses shall be credited on the basis of one-third unit for each semester credit unit of individual doctoral instruction, one-fifth unit for each semester credit unit of individual master's instruction, and one-tenth unit for each semester credit unit of individual undergraduate instruction.
- E. Supervision of graduate theses and dissertations provides teaching units and shall be credited on the basis of one-third of the dissertation research semester credit hours and one-sixth of the thesis research semester credit hours. Thesis and dissertation teaching hours may be divided among the dissertation supervisor and other committee members who contribute to the supervision of the dissertation.

- F. Supervision of tutorial sessions in the pharmaceutical sciences connected to organized classes but not reflected in specifically identified sections shall be credited such that 30 contact hours per semester are equal to three units of teaching load credit in addition to teaching load credit generated by the organized classes. This adjustment must be reported by the department, approved by the college dean, and reported to the administration on the [Additional Duties](#) form (below).
- G. Teaching credit for large and small organized classes will be awarded in the following fashion.

Class size	Inflator
59 or fewer	*1.0
60 - 69	1.1
70 - 79	1.2
80 - 89	1.3
90 - 99	1.4
100 - 124	1.5
125 - 149	1.6
150 - 174	1.7
175 - 199	1.8
200 - 249	1.9
250 - 299	2.0
300 - 349	2.1
350 - 399	2.2
400 - 449	2.3
450 - 499	2.4
500 - larger	2.5

When undergraduate classes have fewer than ten students and graduate classes have fewer than five students, credit for small classes will be deflated in the following fashion.

Small Class Deflater

Undergraduate	Class size	10	9	8	7	6	5
	Deflater	1.0	0.9	0.8	0.7	0.6	0.5
Graduate	Class size	5	4				
	Deflater	1.0	0.8				

When a department does not meet its instructional hour requirements under the provisions above, the following teaching load equivalencies for other professional activities allowable under state law may be used to comply.

- A. Equivalency credit may be granted for other professional assignments that the college documents as related directly to the teaching function. The sum of such equivalencies shall not exceed one one-thousandth (0.001) of the total semester credit hours generated by the college in the corresponding semester of the previous year. *Example: Assume that a college taught a total of 11,935 semester credit hours in the corresponding semester of the previous year. Using the factor of 0.001 the college would have a credit of 11.93 units that could be assigned to individuals for other activities which are related directly to the college's teaching responsibilities (such as major course revision). This equivalency will be calculated at the*

college level, and its distribution is the responsibility of the dean. This adjustment must be reported by the department, approved by the college dean, and reported to the administration on the [Additional Duties](#) form (below).

- B. Coordination of several sections of a single course may provide teaching load credit up to a maximum of three units where one hour is awarded for each six sections so coordinated. This adjustment must be reported by the department, approved by the college dean, and reported to the administration on the [Additional Duties](#) form (below).
- C. When the budget allows, the department chair and the dean of the college may request that the provost approve, by individual faculty member, up to twelve work load units per faculty member per semester for basic and applied research or professional development activities which directly support the institution's teaching and research function. This adjustment must be reported by the department, approved by the college dean, and reported to the administration on the [Additional Duties](#) form (below).
- D. Departmental administrative assignments will receive equivalent teaching units per semester based on the size of the department:

< 15 FTE	9 units
12 - 24 FTE	12 units
25 - 39 FTE	15 units
40 FTE>	18 units

No more than six units may be awarded to any one faculty member during a semester. This adjustment must be reported by the department, approved by the college dean, and reported to the administration on the [Additional Duties](#) form (below).

- E. If a class is canceled due to low enrollments, substitute teaching loads should be assigned to the faculty member by the department chair. However, for extenuating circumstances, the department chair can petition the dean for a waiver of the forfeited teaching load for one semester. This adjustment must be reported by the department, approved by the college dean, and reported to the administration on the [Additional Duties](#) form (below).

Teaching Load Compliance

The chief academic officer shall designate the officer of the institution who will monitor faculty teaching load and submit the reports to the chief academic officer for approval and comment, as appropriate, prior to submitting the reports to the University of Houston Board of Regents following the standard reporting format and deadlines as provided by the Texas Higher Education Coordinating Board in accordance with Section 51.402 of the Texas Education Code and any applicable riders in the current General Appropriations Act.

Every department's compliance with these minimum teaching load requirements shall be assessed each academic year. If a department is found to be out of compliance, the institution shall take appropriate steps to address the non-compliance and to prevent such non-compliance in the future.

[University of Houston Faculty Academic Instructional Workload Additional Duties Form](#)

**UNIVERSITY OF HOUSTON
FACULTY ACADEMIC INSTRUCTIONAL WORKLOAD
ADDITIONAL DUTIES FORM**

DATE: _____ DEPT/SCHOOL: _____
 SEMESTER: _____ CONTACT PERSON: _____
 COLLEGE: _____ PHONE: _____

Col. 1	Col. 2	Col. 3	Col. 4	Col. 5	Col. 6	Col. 7	Col. 8
INSTRUCTOR'S NAME (LAST, FIRST)	EMPLID:	RANK	SPECIAL ASSIGN. (A)	COORD. SEVERAL SECTIONS (B)	*RESEARCH/ PROF. DEVEL. (C)	DEPT. ADM. ASSIGN. (D)	WAIVER OF FORFEITED TEACH. LOAD (E)

* Requires prior approval by the Provost

Submitted by: _____ Approved by: _____
 Department Chair Dean

Undergraduate Course Information to be Posted on the University of Houston Website

The University is required by state law to post on its website a syllabus for each undergraduate classroom course taught, along with the curriculum vitae for the Instructor of Record. (Senior Honors Thesis or special problems course are exceptions to the law. These courses should end in 98 or 99 and/or have four or less students registered.) The current deadline for meeting these requirements is the seventh day after the start of the term. Instructors are able to upload these two documents using a Word template and an upload interface within their Faculty Center. Faculty with questions or needing Faculty Center support should contact their department's class schedule developer.

Required information includes;

1. **Syllabus** for the course, including:
 - a. a description of the course, including major assignments and examinations;
 - b. required or recommended reading; and
 - c. a general description of the subject matter of each lecture.

The syllabus shall not contain personal information, such as the faculty member's home address and phone number.

2. **Instructor's Curriculum Vitae** that lists the instructor's:
 - a. postsecondary education;
 - b. teaching experience; and
 - c. significant professional publications.

See Tex. Govt. Code § 51.974 Internet Access to Course Information

Center for Teaching Excellence

Resources available through the center include training for teaching assistants, research and development, and incentives for teaching excellence. Other benefits include monthly faculty training and development venues, as well as training programs for teaching assistants. The ongoing workshops available to faculty are intended to encourage research and provide assistance with applying for external grant proposals. Interested faculty members are encouraged to visit the Center for Teaching Excellence website, <http://cte.uh.edu>.

Measurement and Evaluation Center

The mission of the Measurement and Evaluation Center (MEC) is to improve the quality of education and programs on campus through comprehensive evaluation services, including: research support, consultation for data collection, focus groups, surveys, interviews, and assistance in survey design and research; faculty support through course evaluation, exam scoring, and consultation; and improved programming through outcome assessment, data analysis, and evaluation of goals and objectives.

MEC provides assistance with measurement and evaluation services that improve the quality of education and programs via faculty/course evaluations, design of research and survey methodologies, instrumentation, data analysis, program evaluation, exam scoring, and outcome assessment. The center has also been forging public-private partnerships with Houston business and non-profit organizations. The center plays a consultant role for many internal and external customers.

MEC supports graduate and professional education with research support and consultation for data collection, survey design, and focus groups.

Course/Faculty Evaluation

MEC offers consultation and design of evaluation questionnaires. At the conclusion of each semester, MEC processes all course evaluations and provides various statistical reports for colleges or departments who have requested them.

Exam Scoring

MEC scores most of the university-scheduled course examinations. MEC is able to generate reports such as student score reports and item analyzes according to the client's specifications. There is no charge for these services. Exams received by 2:00 p.m. will be available for pick-up after 9:00 a.m. the following business day. After 2:00 p.m., they will be available after 1:00 p.m. the following business day.

Electronic Gradebook

The electronic gradebook option has been helpful to professors in large classes. MEC will merge test and quiz grades for students on the class roster and provide the gradebook to professors by request. Following each exam, the professor will receive an updated gradebook file and a list of non-match students to aid in file clean-up.

Focus Groups

MEC can provide trained leaders to conduct focus groups. Staff will assist in developing the script for this research activity, and a report will be provided summarizing the findings.

Institutional Tests

Institutional tests offered by University Testing Services for UH and non-UH students are also processed through MEC. MEC is responsible for grading and posting university-required exams such as math and English placement exams. MEC also validates studies of institutional and departmental tests.

Program Evaluation

MEC offers consultation with design and administration of survey research projects. MEC can assist with the development of customized scannable forms for all types of projects, as well as the administration of large-scale, university-wide surveys.

Survey Research

MEC offers consultation with design and data analysis of survey and research projects, including customized scannable forms

University Scanning Services

MEC scans most of the university administrative forms for Enrollment Services, academic units, and Parking and Transportation. MEC also scans standardized tests, psychological batteries, and vocational inventories.

For additional information, visit the Measurement and Evaluation Center in room 206 of the Student Service Center, call, 713-743-5440, fax 713-743-5383, or visit the website at <http://www.las.uh.edu>. Some of the above services may carry a charge. The fee schedule is available at <http://www.las.uh.edu/MEC/fee-schedule.aspx>.

Professional Ethics

AAUP Ethics and Traditions of Academia*

Searching for and Teaching Truth is the common commitment of all in Academia.

Academic Freedom, meaning the right to pursue and teach truth as one's scholarship dictates, is required for the scholar to keep this pledge.

Wisdom and Knowledge have no private ownership in Academia; they must be disseminated to enlighten all.

Plagiarism, claiming credit for the contributions of others, is unprofessional.

Equality is a cardinal rule in Academia. In a properly functioning community of scholars, despite differences in tenure, assignment, and scholarly focus, no hierarchy exists.

Mutual Respect and Civility are cornerstones of professional ethics. To harass, denigrate, or discriminate against a colleague or student is unprofessional.

Shared Power is a carefully guarded tradition in the organization and operation of academic institutions. Power flows upward, rather than top-down as in a business or military organization.

Persuasion, rather than dictation, is the process of leadership--in both teaching and administration.

Verifiable Facts and Critical Reasoning shape group and individual actions. Dogma, bigotry, expediency, and political correctness have no standing as criteria in the search for truth, in teaching, or in academic administration.

Institutional Integrity is Protected. Professors fulfill their responsibilities in full measure, submerging personal ambitions when they conflict with orderly and proper institutional operations.

* Condensed and updated, by Lindley J. Stiles, from the American Association of University Professors, "Statement on Professional Ethics", published in ACADEME July-August, 1987.

Standards of Conduct

(Texas Government Code 572.051)

- A. No state officers or state employees should accept or solicit any gift, favor, or service that might reasonably tend to influence them in the discharge of their official duties or that they know or should know is being offered them with the intent to influence their official conduct.
- B. No state officers or state employees should accept employment or engage in any business or professional activity which they might reasonably expect would require or induce them to disclose confidential information acquired by reason of their official position.
- C. No state officers or state employees should accept other employment or compensation which could reasonably be expected to impair their independence of judgment in the performance of their official duties.
- D. No state officers or state employees should make personal investments which could reasonably be expected to create a substantial conflict between their private interest and the public interest.
- E. No state officers or state employees should intentionally or knowingly solicit, accept, or agree to accept any benefit for having exercised their official powers or performed their official duties in favor of another.

Conflicts of Interest

(UHS Board of Regents policy 57.08)

Employees of the University of Houston System and its component institutions shall adhere to and be furnished a copy of the Statutory Standards of Conduct for State Employees, Section 572.051, Texas Government Code, and shall avoid conflicts of interest, which are in violation of the above, the Texas Education Code, or any other State or Federal law or regulation that controls such participation, generally described as the use of one's university employment or position to obtain unauthorized privileges, benefits, or things of value for oneself or others, including the following:

- A. No employee shall solicit, accept, or agree to accept any privilege, benefit, or thing of value for the exercise of his/her discretion, influence, or powers as an employee except as is allowed by law.
- B. No employee shall accept any privilege, benefit, or thing of value that might influence him/her in the discharge of his/her duties as an employee.
- C. No employee shall use his/her position to secure special privileges or exemptions for himself/herself or others, except as is allowed by law.
- D. No employee may be an officer, agent, employee, or members of, or own an interest in, a professional activity or organization that foreseeably might require or induce him/her to disclose confidential information acquired by reason of his/her System position.
- E. No employee shall accept employment or engage in any businesses or professional activities which foreseeably might require or induce him/her to disclose confidential information acquired by reason of his/her university position.
- F. No employee shall disclose confidential information gained by reason of his/her university position nor shall s/he otherwise use such information for his/her personal gain or benefit.
- G. No employee shall transact any business for the System with any entity of which s/he is an officer, agent, employee, or member, or in which s/he owns a significant interest.
- H. No employee shall make personal investments in any enterprise that foreseeably might create a substantial conflict between his/her private interests and the System's interests.
- I. No employee shall accept other employment that might impair his/her independence of judgment in the performance of his/her System duties.
- J. No employee shall receive any compensation for his/her services from a source other than the State of Texas except as is allowed by law.
- K. No employee who exercises discretion in connection with contracts, purchases, payments, claims, or other pecuniary transactions shall solicit, accept, or agree to accept any benefit from a person or entity the employee knows or should know is or is likely to become financially interested in such transactions.

Other examples of conflicts of interest:

- A. Personal remuneration from a private or governmental agency for work accomplished with University of Houston equipment, personnel, or facilities when a grant or contract for such work has not been awarded to the university.

B. Awarding contracts or subcontracts to a private organization in which the individual has a financial interest.

Failure of any employee to comply with the foregoing shall constitute grounds for discharge or other disciplinary action.

Ethical Conduct in Academic Research and Scholarship

Background/Introduction

The integrity of the research process is an essential aspect of a university's intellectual and social structure. Research is defined as all research, scholarly, and creative activity that supports the intellectual endeavors of the university whether funded or unfunded by an external agency. Although incidents of misconduct in research may be rare, those that do occur threaten the entire research enterprise.

The integrity of the research process must depend largely upon self-regulation. Formalization of the rights and responsibilities underlying scientific method is imperative in the research process. The university is responsible both for promoting academic practices that prevent misconduct and also for developing policies and procedures for dealing with allegations or other evidence of fraud or serious misconduct. All members of the university community--students, staff, faculty and administrators--share responsibility for developing and maintaining standards to assure ethical conduct of research and detection of abuse of these standards.

In dealing with this problem it is important to create an atmosphere that encourages openness and creativity. Good and innovative science cannot flourish in an atmosphere of oppressive regulation. Moreover, it is particularly important to distinguish misconduct in research and scholarship from the honest error and the ambiguities of interpretation that are inherent in the scientific process and are normally corrected by further research. The policies and procedures outlined below affirm the university-wide policy on research ethics adopted in 1986 and apply to faculty, staff and students. They are not intended to address all academic issues of an ethical nature. For example, discrimination and affirmative action are covered by other university policies.*

Ethical Conduct in Academic Research and Scholarship

The primary way to encourage appropriate conduct in research and scholarship at the university is for faculty to promote and maintain a climate consistent with high ethical standards. To reduce the likelihood of misconduct in research and scholarship, the faculty and administration should facilitate the following:

- A. Encouragement of Intellectual Honesty. Because of the importance of a climate of intellectual honesty in a university community, a commitment to the ethical responsibilities of academia by all of its practitioners is essential. Emphasis must be placed on the importance of such common practices as submission of work to peer review, avoidance of conflict of interest, scholarly exchange of ideas and data, and self-regulation. Mentor relationships between academic leaders and new practitioners serve to guarantee the transmission of ethical standards.
- B. Assurance that quality of research is emphasized.
- C. Acceptance of responsibility by research supervisor. University policies must define a locus of responsibility for the conduct of research and must ensure that the individual(s) charged with the supervision of researchers can realistically execute the responsibility. These supervisors of research should be experienced academicians who serve as mentors in transmitting the ethics and responsibilities underlying scientific and humanistic research. The larger the research enterprise, the more critical the role of the supervisor is in promoting open communication and scholarly exchange of ideas, data, and results. It is also the

responsibility of the supervisor to encourage publication of as much primary data as possible.

- D. Establishment of well-defined research procedures. Well-designed and strictly-adhered-to research methods are a deterrent to fraud. Bias in data analysis and interpretation will be avoided by following practices common to the disciplines.
- E. Appropriate assignment of credit and responsibility. Publications should recognize the contributions of others through adequate citation and/or acknowledgment. Publications should also name as authors only those who have had a genuine role in the research and who accept responsibility for the quality of the work being reported.

Definitions

- A. "Misconduct in research and scholarship" means any form of behavior which entails an act of deception whereby one's work or the work of others is misrepresented. Other terms, such as research fraud or scientific misconduct, are subsumed within the term as defined. Misconduct in research and scholarship is distinguished from honest error and from ambiguities of interpretation that are inherent in the scientific process. The principal element of misconduct in research and scholarship is the intent to deceive others or misrepresent one's work. Misconduct involves significant breaches of integrity which may take numerous forms such as, but not limited to, those outlined below:
 - 1. Research Misconduct: Fabrication, falsification, or plagiarism in proposing, performing, or reviewing research or in reporting research results.
 - 2. Fabrication: Making up results and recording or reporting them.
 - 3. Falsification: Ranging from fabrication of data to deceptive selective reporting of findings and omission of conflicting data, or willful suppression and/or distortion of data with the intent to falsify results. This also applies to falsification of credentials, publications claims, and letters of recommendation and collaboration.
 - 4. Plagiarism: The appropriation of another person's ideas, processes, results or words without giving appropriate credit, including those obtained through confidential review of others' research proposals and manuscripts.
 - 5. Improprieties of Authorship: Improper assignment of credit, such as excluding other authors; inclusion of individuals as authors who have not made a definite contribution to the work published; or submission of multi-authored publications without the knowledge of all authors.
 - 6. Misappropriation of the Ideas of Others: The unauthorized use of privileged information (such as violation of confidentiality in peer review), however obtained.
 - 7. Violation of Generally Accepted Research Practices: Deceptive practices in proposing, conducting, or reporting research.
 - 8. Inappropriate Behavior In Relation to Misconduct: Including unjust and malicious accusation(s) of misconduct; failure to report misconduct; withholding or destruction of information relevant to a claim of misconduct in research and scholarship; or retaliation against persons involved in the allegation or investigation of misconduct in research and scholarship who have not acted in bad faith.

9. Complainant: An individual who brings an allegation(s) of misconduct.
 10. Respondent: An individual against whom an allegation(s) of misconduct is made.
 11. Members of the university community: All faculty, staff, and students, both full and part time, who are affiliated with the University of Houston.
- B. "Inquiry" means information gathering and initial fact finding to determine whether an allegation or apparent instance of misconduct warrants an investigation.
- C. "Investigation" means the formal examination and evaluation of all relevant facts to determine if misconduct has occurred.

Policy

- A. Misconduct in research and scholarship is inappropriate behavior by members of this university community. Allegations of misconduct in research and scholarship will be handled according to the policies and procedures included herein. When research is sponsored by a federal agency the University of Houston will adhere to that agency's policies when responding to an allegation of research misconduct.
- B. Allegations of scientific misconduct against students engaged in research supported by funding from the university or other sources will be handled according to this policy. Students against whom such allegations are made shall be afforded the rights to student representation on the Inquiry and Investigation Committees consistent with the Academic Dishonesty Policy of the Student Handbook.
- C. The imperatives that guide this institutional review process for dealing with allegations of misconduct in research and scholarship are the following:
1. The process used will not damage science or scholarship.
 2. The university will provide vigorous leadership in the pursuit and resolution of all charges.
 3. The principles of due process will be observed and the university will treat all parties with justice and fairness and be sensitive to their reputations and vulnerabilities.
 4. The procedures will preserve the highest attainable degree of confidentiality compatible with an effective and efficient response.
 5. The integrity of the process will be maintained by taking reasonable steps to ensure an impartial and unbiased investigation to the maximum extent practicable, including participation of persons with appropriate scientific expertise who do not have unresolved personal, professional, or financial conflicts of interest with those involved with the inquiry or investigation.
 6. The procedure will be as expeditious as possible leading to the resolution of charges in a timely manner.
 7. The university will document the pertinent facts and actions at each stage of the process.
 8. The university will pursue allegations within the scope of this policy without regard to whether related civil or criminal proceedings have been initiated or are underway.

The university, may, at its option, suspend inquiry/investigation temporarily but is not under obligation to do so, as the standards of the university may differ from those of the courts.

9. Even if the individual against whom the allegation is made (hereinafter referred to as the respondent) leaves or has left the university before the case is resolved, the university will pursue an allegation of misconduct to its conclusion.

Procedures

A. Introduction

The several stages of the review process are discussed in detail in the remainder of this document. However, the imperatives that guide this institutional review process for dealing with allegations of misconduct in research and scholarship are the following:

B. Initiation of an Allegation of Misconduct; Protection against Retaliation

Initial allegations, in writing, may be reported to any faculty member or administrator. All such allegations must then be reported to the Senior Vice President for Academic Affairs or his/her designee. (The term "Senior Vice President for Academic Affairs" in the balance of this document shall mean "the Senior Vice President for Academic Affairs and Provost or his/her designee.") If the Senior Vice President for Academic Affairs has a possible conflict of interest, the allegations will be referred to the Chancellor/President.

The Senior Vice President for Academic Affairs shall informally review any allegation of misconduct in research and scholarship and determine whether the allegation warrants initiation of the inquiry process according to the policies and procedures for misconduct in research and scholarship, or whether other policies and procedures, such as those relevant to employment grievances, should be invoked. The Senior Vice President for Academic Affairs will counsel the individual(s) bringing the allegation as to the policies and procedures to be used. If the reporting individual chooses not to make a formal allegation but the Senior Vice President for Academic Affairs believes that reasonable suspicion exists to warrant an inquiry, the inquiry process will be initiated.

The Office of the Senior Vice President for Academic Affairs shall use its best efforts to protect the positions and reputations and to otherwise prevent retaliation against those who, in good faith, make allegations of misconduct under this policy.

To the extent allowed by law, UH will maintain the identity of the respondents and complainants securely and confidentially and shall not disclose any identifying information, except to those who need to know in order to carry out a thorough, competent, objective and fair research misconduct proceeding and any subsequent proceedings. To the extent allowed by law, any information obtained during the research misconduct proceeding that might identify the subjects of research shall be maintained securely and confidentially and shall not be disclosed, except to those who need to know in order to carry out the research proceedings.

The Senior Vice President for Academic Affairs or his designee shall, within 15 working days of receipt of an allegation, complete his initial review and decide whether to call for a Committee of Inquiry. Under extenuating circumstances, the Senior Vice President for Academic Affairs may extend this review time to 30 working days. The

respondent shall be notified of this decision within five working days of the decision's being made.

C. Inquiry

1. Purpose

Whenever a warranted allegation or complaint involving the possibility of misconduct is made, the Senior Vice President for Academic Affairs will initiate an inquiry -- the second step of the review process. In the inquiry stage, factual information is gathered and expeditiously reviewed to determine if an investigation of the charge is warranted. An inquiry is designed to separate allegations deserving of further investigation from frivolous, unjustified, or clearly mistaken allegations.

2. Structure

- a. The Senior Vice President for Academic Affairs will, after a decision to proceed with an inquiry and after consultation with the chair of the University Research Council, appoint a Committee of Inquiry of no less than three persons. At least two members will be tenured faculty at the rank of associate or full professor who are without conflict of interest, hold no appointment in the departments of either the complainant or the respondent, and have appropriate expertise for evaluating the information relative to the case. One member may be chosen from outside the University of Houston. Every effort will be made following initial administrative review of the allegation to appoint a Committee of Inquiry within 15 working days but the Committee of Inquiry must be appointed within 30 working days.
- b. At its first meeting, the Committee of Inquiry will elect a chairperson to handle procedural and administrative matters. All committee members are voting members.
- c. Records of the inquiry are confidential and are to be passed on to a Committee of Investigation if formal review is initiated. In any case, the records should be kept secure, and if no misconduct is found, records should be destroyed seven years after completion of an inquiry. Making the records public without authorization is grounds for a charge of misconduct. At the option of the Committee of Inquiry, proceedings will be either tape-recorded or transcribed and will be made available to involved parties upon request.
- d. The inquiry phase will be completed within 60 calendar days of its initiation unless the Committee of Inquiry determines that circumstances clearly warrant a longer period. In such circumstances, the Committee of Inquiry will advise the Senior Vice President for Academic Affairs who will advise all relevant parties. The record of the inquiry will include documentation for exceeding the 60 day period.
- e. As the inquiry is informal and intended to be expeditious, principals are expected to speak for themselves. All individuals may be accompanied by a representative for advice and counsel.

3. Process

- a. The Senior Vice President for Academic Affairs is responsible for notifying all parties in writing of the allegations and of the procedures that will be used to examine the allegations. Further, they will be informed of the proposed membership

of the Committee of Inquiry for the purpose of identifying in advance any real or potential conflict of interest.

- b. Where the complainant seeks anonymity, the Committee of Inquiry shall operate in such a way as to maintain that anonymity to the degree compatible with accomplishing the fact finding purpose of the inquiry. Such anonymity cannot, however, be assured. Further, anonymity of the complainant is neither desirable nor appropriate where the testimony or witness of the complainant is important to the substantiation of the allegations.
- c. As the university is responsible for protecting the health and safety of research subjects, students and staff, as well as the protection of federal funds and ensuring that the purposes of Federal financial assistance are carried out, interim administrative action prior to conclusion of the inquiry may, therefore, be indicated. Such action ranging from slight restrictions to complete suspension of the respondent and notification of external sponsors, if indicated, is initiated by the Senior Vice President for Academic Affairs.
- d. Information, expert opinions, records, and other pertinent data may be requested by the Committee of Inquiry. All involved individuals are obliged to cooperate with the Committee of Inquiry by supplying such requested documents and information.
- e. Access during the inquiry of copies of all documents reviewed by the Committee of Inquiry will be assured to all parties. All material will be considered confidential and shared only with those with a need to know. During the inquiry, the Senior Vice President for Academic Affairs and the members of the Committee of Inquiry are responsible for the security of relevant documents. Copies of all documents and related communications are to be securely maintained in the Division of Research.
- f. All parties to the case, including the Committee of Inquiry itself, shall have the opportunity to present evidence and to call witnesses.
- g. If for any reason the inquiry is terminated prior to its completion, a written report describing the reasons will be submitted to the Senior Vice President for Academic Affairs. Under certain circumstances, as defined by applicable federal regulations the institution may be expected to notify the sponsoring agency or funding source. The Senior Vice President for Academic Affairs shall convey this report to the sponsor to the extent required by federal regulations or if otherwise appropriate.

4. Findings

- a. The completion of an inquiry is marked by a determination of whether or not an investigation is warranted. The Committee of Inquiry shall find no misconduct unless a majority of the members conclude, based on the preponderance of evidence for each allegation, that the allegation(s) have sufficient merit to call for an investigation. A written report shall be prepared by the Committee of Inquiry. The report will describe the evidence reviewed, summarize the interviews and specify the conclusions of the Committee of Inquiry. The written report will be submitted to the Senior Vice President for Academic Affairs who will be responsible for communication of the findings in writing to the respondent within ten working days. A copy of the Inquiry Report will be attached to that communication. The respondent shall be given the opportunity to comment in writing upon the findings

and recommendations of the Committee of Inquiry. If the respondent chooses to comment, such comments shall be forwarded as soon as possible but must be forwarded within ten working days.

- b. If the outcome of the inquiry indicates a need for formal investigation, the Committee of Inquiry will communicate its findings to the Senior Vice President for Academic Affairs who then, after notification to the appropriate Dean(s) and legal counsel, will initiate the investigatory process. Under certain circumstances, as defined by federal regulations, the institution may be expected to notify the sponsoring agency or funding source at a point prior to the initiation of an investigation. Factors used in determining the timing of such notification include the following: (1) There is an immediate health hazard involved; (2) There is an immediate need to protect Federal funds or equipment; (3) There is an immediate need to protect the interests of the person(s) making the allegations or of the individual(s) who is the subject of the allegations as well as his/her co-investigators and associates, if any; (4) It is probable that the alleged incident is going to be reported publicly; (5) There is a reasonable indication of possible criminal violation.
- c. If an allegation is found to be unsupported but has been submitted in good faith, no further action, other than informing all involved parties, will be taken and efforts will be made to prevent retaliatory actions. The proceedings of an inquiry, including the identity of the complainant and the respondent, will be held in strict confidence to protect the parties involved. If confidentiality is breached, the university will take reasonable steps to minimize the damage to reputations that may result from inaccurate reports.
- d. If the Committee of Inquiry finds the allegations to be unjust and malicious, the Committee of Inquiry will report those findings to the Senior Vice President for Academic Affairs. At this time, the Senior Vice President for Academic Affairs may take such actions, or impose such sanctions, as are appropriate to the situation.

D. Investigation and Determination

1. Purpose

An investigation will be initiated when an inquiry issues a finding that investigation is warranted. The purpose of investigation is to explore further the allegations and determine whether misconduct in research and scholarship has been committed. The investigation will focus on accusations of misconduct as defined previously and examine the factual materials of each case. In the course of an investigation, additional information may emerge that justifies broadening the scope of the investigation beyond the initial allegations. The respondent will be informed in writing when significant new directions of investigation are undertaken.

2. Structure

- a. The Senior Vice President for Academic Affairs will, after a decision to proceed with a formal investigation, and after consultation with the chair of the University Research Council, appoint an Investigating Committee of no less than three persons. At least two members will be senior faculty who are without conflict of interest, hold no appointment in the departments of either the complainant or the respondent, and have appropriate expertise for evaluating the information relevant to the case. At

least one member shall not be associated with the University of Houston. No member of the Committee of Inquiry shall serve on the Investigating Committee. Every effort will be made following the receipt of the report of the Committee of Inquiry to appoint an Investigating Committee within 15 working days, but the Investigating Committee must be appointed within 30 working days.

- b. At its first meeting, the Investigating Committee will elect a chairperson to handle procedural and administrative matters. All committee members are voting members.
- c. Hearings are confidential and may be declared closed by request of any of the principals. Written notification of hearing dates and copies of all relevant documents will be provided by the Senior Vice President for Academic Affairs in advance of scheduled meetings. At the option of the Investigating Committee, proceedings will be recorded and transcripts will be made available to involved parties upon request.
- d. Every effort should be made to complete the investigation and submit the final report within 120 days; however, it is acknowledged that some cases may render this time period difficult to meet. In such cases, the Investigating Committee should compile a progress report, identify reasons for the delay and notify the Senior Vice President for Academic Affairs of the additional time necessary for the investigation. In accordance with certain federal regulations, if the final report is delayed beyond 120 days, the Senior Vice President for Academic Affairs will submit a written request for an extension along with an explanation for the delay, including a copy of the progress report to the appropriate federal agency.
- e. Both the principals and the Investigating Committee may discuss the issues personally, have a representative act in his/her behalf or have a representative accompany him/her.

3. Process

- a. The Senior Vice President for Academic Affairs is responsible for notifying all parties in writing of the allegations and of the procedures that will be used to examine the allegations. Further, they will be informed of the proposed membership of the Investigating Committee for the purpose of identifying in advance any real or potential conflict of interest.

The Senior Vice President for Academic Affairs will notify the respondent sufficiently in advance of the scheduling of his/her interview in the investigation so that the respondent may prepare for the interview and arrange for the attendance of legal counsel, if the respondent wishes.

- b. All parties to the case, including the Investigating Committee, may present evidence, and call and examine or cross-examine witnesses. The investigation normally will include examination of all documentation, including but not necessarily limited to relevant research data and proposals, publications, correspondence in any medium, and memoranda of telephone calls. The Investigating Committee will make every attempt to interview all individuals involved either in making the allegation or against whom the allegation is made, as well as other individuals who might have information regarding key aspects of the allegations; complete summaries of these interviews will be prepared, provided to the interviewed party for comment or

revision and included as part of the investigatory file. Additional hearings may be held and the Investigating Committee may request the involvement of outside experts. The investigation must be sufficiently thorough to permit the Investigating Committee to reach a decision about the validity of the allegation(s) and the scope of the wrongdoing or to be sure that further investigation is not likely to alter an inconclusive result. In addition to making a judgment on the veracity of the charges, the Investigating Committee may recommend to the Senior Vice President for Academic Affairs appropriate sanctions if warranted.

- c. If for any reason the Investigation is terminated prior to its completion, a written report describing the reasons will be submitted to the Senior Vice President for Academic Affairs. Under certain circumstances, as defined by federal regulations the Institution may be expected to notify the sponsoring agency or funding source. The Senior Vice President for Academic Affairs shall convey this report to the sponsor to the extent required by federal regulations or if otherwise appropriate.
- d. The university is responsible for protecting the health and safety of research subjects, students and staff, as well as the protection of federal funds and ensuring that the purposes of federal financial assistance are carried out. Interim administrative action prior to conclusion of the investigation may, therefore, be indicated. Such action ranging from slight restrictions to complete suspension of the respondent and notification of external sponsors, if indicated, is initiated by the Senior Vice President for Academic Affairs.
- e. All parties in the investigation are encouraged to cooperate by producing any additional data requested for the investigation. Copies of all materials secured by the Investigating Committee shall be provided to the respondent and may be provided to other concerned parties as judged appropriate by the Investigating Committee.
- f. The respondent shall have an opportunity to address the charges and evidence in detail. The respondent will receive a copy of the draft investigation report, and concurrently, a copy of, or supervised access to, the evidence on which the report is based and notify the respondent that any comments must be submitted within 30 days of the date on which he/she received the draft report. These comments will be included and considered in the final investigation report.
- g. After all evidence has been received and hearings completed, the Investigating Committee shall meet in closed sessions to deliberate, and prepare its findings and recommendations. The Investigating Committee shall find no academic misconduct unless a majority of the members conclude based on a preponderance of evidence that the allegation(s) have been substantiated.
- h. All significant developments during the investigation as well as the findings and recommendations of the Investigating Committee will be reported by the Senior Vice President for Academic Affairs to the research sponsor, if appropriate.

4. Findings

- a. Upon completion of the investigation the Investigating Committee will submit to the Senior Vice President for Academic Affairs a full written report which details the Investigating Committee's findings and recommendations. The Investigating

Committee will prepare and maintain all documentation that substantiates the investigation findings. The findings and documentation shall be made available to the relevant responsible federal agency. The Investigating Committee's findings are binding upon the institution subject to appeal by the respondent.

- b. This report should also be sent to the respondent by the Senior Vice President for Academic Affairs within 10 days of its receipt.
- c. The Senior Vice President for Academic Affairs shall convey this report to the sponsor to the extent required by federal agencies or if otherwise appropriate.

5. Resolution

a. Finding of Absence of Academic Misconduct

All research sponsors and others initially informed of the investigation will be informed in writing that allegations of misconduct were not supported. If the allegations are deemed to have been maliciously motivated, the Investigating Committee will report those findings to the Senior Vice President for Academic Affairs. If the allegations, however incorrect, are deemed to have been made in good faith, no additional measures are indicated and efforts will be made to prevent retaliatory actions. In publicizing the findings of no misconduct, the university will be guided by whether public announcements will be harmful or beneficial in restoring any reputation(s) that may have been damaged. Usually, such decision will rest with the person who was innocently accused.

b. Presence of Academic Misconduct

The Senior Vice President for Academic Affairs shall consider the recommendations of the Investigating Committee and shall be responsible for determining and implementing sanctions. The respondent shall be notified in writing of the recommended sanctions within 20 days. If the sanctions involve a recommendation for termination of employment, the university academic termination procedures will be invoked. The university must take action appropriate for the seriousness of the misconduct, including, but not limited to, one or more of the following:

Institutional Disciplinary Action Including:

- 1) Removal from particular project
- 2) Special monitoring of future work
- 3) Letter of reprimand
- 4) Probation for a specified period with conditions specified
- 5) Suspension of rights and responsibilities for a specified period, with or without salary
- 6) Financial restitution
- 7) Termination of employment/enrollment

c. Notification

The Senior Vice President for Academic Affairs is responsible for notification of all federal agencies, sponsors or other entities initially informed of the investigation, of the outcome. Consideration should be given to formal notification of involved parties such as:

- 1) Sponsoring agencies, funding sources
- 2) Co-authors, co-investigators, collaborators, department, campus university publications
- 3) Editors of journals in which fraudulent research was published
- 4) State professional licensing boards
- 5) Editors of journals or other publications, other institutions, sponsoring agencies, and funding sources with which the individual has been affiliated
- 6) Professional societies

d. Sanctions shall not be imposed during the appellate process.

6. Appeal

Individuals may appeal the findings of the Investigating Committee and/or the sanction(s). A written statement of the grounds for the appeal must be submitted to the Chancellor/President within thirty days of written notification of the sanctions. Grounds for appeal include, but are not limited to new, previously unconsidered material evidence, sanctions not commensurate with the findings, and lapses in due process. Upon receipt of a written appeal, the Chancellor/President will evaluate the evidence and make a determination. The Chancellor/President shall reopen the investigation if the previously unconsidered material evidence so warrants and may reopen the investigation if circumstances so dictate. The decision of the Chancellor/President will be binding on all parties and will be conveyed to all involved in a timely fashion, but must be conveyed within 30 working days. In the case of termination, the decision of the Chancellor/President may be appealed to the Board of Regents. All evidence, as well as the record of the proceedings, will be made available to that Board.

Business Participation

- A. **Business participation approved.** The Board does not discourage persons subject to this policy from participating in the commercial development and/or exploitation of Board-owned intellectual property. Nonetheless, such participation must conform in all respects to this policy, including the policy concerning licenses and transfers, and to applicable state and federal laws.
- B. **Specific requirements.** In particular, a person shall not engage in business participation if such participation would violate Board Policy 21.08; Section 572.051, Texas Government Code; section 51.912, Texas Education Code; or any other state or federal law or regulation that controls such participation.

Dual Employment and Office Holding

(UHS Board of Regents Policy 57.04)

The University's Policy regarding Dual Employment and Office Holding is covered by UHS Board of Regents Policy 57.04 available at <http://www.uhsa.uh.edu/board-of-regents/policies/index.php>.

Procurement Integrity Policy

(41 USC 423, as amended)

Section 27 of the OFPP Acts Amendment of 1988, entitled "Procurement Integrity," prohibits certain activities by universities and their personnel who have any role in the development and submission of proposals to federal agencies and/or negotiations of any contracts which follow. This law directly affects the faculty member's interaction with program and procurement officials in the federal government and may affect the faculty member's interaction as a consultant to any governmental agency. It is important to understand both the scope and the substance of the regulations.

Of particular importance are the prohibited actions by principal investigators and administrative personnel. In simplest terms, while the government is reviewing proposals in anticipation of making an award, such individuals must not:

- a) discuss any potential future employment with governmental officials,
- b) provide anything of value to governmental officials or their families, or
- c) solicit proprietary or source selection information from a governmental official. Violation of the regulation will result in loss of contract awards (or a part thereof), and may result in suspension or debarment from receipt of any federal awards.

In addition to the clearly stated prohibitions, many persons are now beginning to question whether they may serve as governmental consultants in the development of long-range planning for research and evaluation of proposals. In general, the answer is yes. This regulation only applies to contracts and, although the policy is effective for all contracts, certification is required by the faculty member and by the institution only for contracts and contract modifications over \$100,000. Faculty involved in any activity with the government that might be subject to these regulations (and therefore might preclude a proposal submission under a specific solicitation), should ask for clarification. Most governmental officials now expect such questions.

Copies of these regulations and more detailed explanations are available for review in the Division of Research, Office of Research Policies, Compliance and Committees.

Inter-institutional Agreements

Faculty may propose inter-institutional agreements such as faculty exchanges, international student exchanges, or collaborative program agreements. Inter-institutional agreements require the approval of the Dean and the Provost. Assistance in formulating such agreements may be obtained through the Provost's Office.

For more information call: the Office of the Provost, 832-842-0550.

Travel Policy

Travel undertaken on official University of Houston business and paid or reimbursed from university funds shall comply with State of Texas, federal, University of Houston System, and university regulations and guidelines. Details of this policy are available from the College or Department Business Administrator; however, faculty should be aware of the following information:

- A. All travel paid or reimbursed from any University of Houston funds must have cleared all the appropriate levels of approval prior to the trip being taken.
- B. To maintain insurance coverage and/or accountability, prior approval is required on all university travel regardless of funding sources.
- C. Foreign travel that will be paid from local (not state-appropriated) funds requires the prior approval of the appropriate Vice President. Foreign travel that will be paid with state-appropriate funds requires the prior approval of the appropriate Vice President and the Chancellor/President, or designee. Following a foreign trip, the traveler must submit an agenda to the appropriate Vice President as well as a trip report that describes the activities and meetings including those attending and how the trip was beneficial for the University.
- D. All receipts and other required documentation for reimbursement must be submitted to the faculty member's department within 60 days of returning from the trip. (Receipts must be submitted within 60 days after the purchase for non-travel reimbursements as well.)
- E. Failure to comply with the Travel Policy may result in a faculty member being unable to recover travel expenses.

Faculty Travel

The State of Texas has clearly established rules that govern University of Houston travel policies and procedures when state-appropriated funds are used. These rules are described in MAPP 04.02.01A (Travel Paid from State-Appropriated Funds). The state has ruled, however, that when travel is paid by donated, grant, or non-state funds, the rules guiding those funds take precedence over state rules. Rules for locally funded travel are described in MAPP 04.02.01B (Travel Paid from Local Funds).

For additional information call the unit administrator or Accounts Payable, 713-743-5883 or visit the Accounts Payable Travel Website at http://www.uh.edu/finance/pages/AP_Travel.htm, the MAPP 04.02.01A website at <http://www.uh.edu/af/universityservices/policies/mapp/04/040201A.pdf> and the MAPP 04.02.01B website at <http://www.uh.edu/af/universityservices/policies/mapp/04/040201B.pdf>.

Research

The University of Houston encourages all of its faculty to engage in both sponsored and unsponsored research, as well as development and training activities. The University of Houston supports research activities to the extent sound budgeting will permit, seeks to increase the level of support for these activities where feasible, and encourages its faculty to acquire funds in the support of research from both public and private agencies.

The university has established policies related to such funding and to the responsibilities of the campus community in carrying out externally funded research projects. (See "*Sponsored Research at the University of Houston*," pages 114-117.)

The following sections enumerate specific research-related policies with which the University of Houston community is expected to comply.

Freedom to Publish

Every faculty member has the right to publicly disseminate the results of research projects. It is University of Houston policy that faculty members shall not only be free but also encouraged to publish or otherwise disseminate all results of research and sponsored projects. It is recognized that some proprietary research requires delay of publication. However, the basic tenet is that faculty members will be able to publish their results within a reasonable time. During sponsored contract negotiations, this tenet will be carefully reviewed.

Textbook and Educational Materials Policy

The following principles pertain to the role and responsibilities of faculty in the development and selection of instructional materials at the University of Houston:

- A. The selection and production of educational materials by faculty is essential to providing quality instruction. Therefore, the decision on the use of such materials properly rests with individual faculty members and / or faculty units, consistent with policies of the department, college and University.
- B. The practice of contributing to a body of knowledge by faculty members in their chosen fields of study through the development of educational materials, e.g., textbooks, case studies, custom books, workbooks, is a practice that is not only acceptable, but actively encouraged by peers, department chairs, and deans.
- C. In the case of educational materials produced by faculty members or instructors such that the materials are self-published by the faculty member or instructor; or are reproductions, custom books, or other materials, produced for the course; or are published by entities wholly or substantially owned by the faculty member or instructor or by a member of his or her family, then such materials shall be made available at cost to students at the University of Houston. In all other cases, including the case where educational materials are produced by departments or other instructional units, educational materials shall be selected such that they are available to students at a reasonable price consistent with national norms, and selected according to national standards of scholarship. In no case should students be charged for information that normally is available without charge, e.g., a course syllabus, practice exams.
- D. In order to implement item C., and to manage any conflict of interest, an instructor of record at the University of Houston must inform the appropriate dean, or his or her designated

representative or committee, before requiring students to purchase educational materials that have been written, co-written, or edited by him or her, and from which he or she shall receive royalties of any kind. The dean or designee will review the required material to ensure that it is consistent with the requirements in C. above.

Internal Funding

Faculty Development Initiative Program (FDIP)

The Faculty Development Initiative Program (FDIP) is a program offered through Academic Affairs to give faculty an opportunity to receive support for curricular innovations using technology. Each year Academic Affairs provides approximately \$350,000 to \$450,000 to fund grants to individual instructors who are engaged in innovative teaching with technology. FDIP awards are based on proposals submitted by either an individual for an FDIP A Grant (up to \$4000) or to a team for an FDIP B grant (up to \$25,000). Funding may be used for course development, salaries for graduate student assistants and support staff, instructional equipment, hardware and/or software, or to acquire other necessary academic technology materials to complete the project. Instructional Design resources are also available for faculty as they develop and implement their projects.

All submissions undergo a thorough review process by a faculty committee composed of former FDIP award holders. Submissions are never reviewed by a member who resides in the same college as the applicant. The recommendations are given to the Executive Associate Vice President of Academic Affairs for final approval.

More information on FDIP may be found at <http://eto.uh.edu/FDIP/index.cfm>

Grant to Enhance and Advance Research (GEAR)

The main objective of the program will be to invest in research likely to return substantial indirect costs from external sources to the university in the near future, with special emphasis on federal sources such as NSF, NIH, DOE, NEH, NIMH and DOD. GEAR grant recipients will be required to submit a (draft) proposal to some external funding source as their final report.

All full-time faculty members, tenured or in the tenure-track, and all full time research faculty are eligible to apply for GEAR funds. Groups of faculty members may apply. Any faculty member who has received a GEAR award in one of the previous two cycles of GEAR grant programs is ineligible to apply (either as lead or as co-investigator).

GEAR awards may be used for virtually any purpose as long as it supports the proposed research program and enhances the ability of the Principal Investigators to obtain external funding. Funding requests may range from \$10,000-\$25,000 depending upon the type and scope of research being proposed. Faculty salaries for proposals are limited to \$6,000 per proposal.

More information on the GEAR awards may be found at <http://www.research.uh.edu/Home/RSC/GEAR.aspx>.

New Faculty Research Program

The New Faculty Research Program is intended to aid faculty who wish to initiate research for the first time and who have not had previous support, exclusive of that as a student or a postdoctoral fellow. Grants up to \$6,000 will be awarded to individual faculty members, as part of the

University of Houston efforts to support research and scholarly activity that constitute an integral part of the university's instructional program.

More information on the New Faculty Research awards may be found at <http://www.research.uh.edu/Home/RSC/GEAR.aspx>.

QEP Curriculum Development Grant Program (Learning through Discovery Initiative)

The purpose of the Quality Enhancement Plan (QEP) Curriculum Development Program is to support the enhancement of existing undergraduate courses or develop new courses that incorporate inquiry-based pedagogy or research practicum training as summarized in the Section 3.4 of the UH QEP Report. Faculty should also consult pedagogical best practices in their field. QEP resource collaborators are available to assist in the development of proposals – faculty are encouraged to involve subject liaison librarians, writing specialists, instructional designers, and assessment specialists. The categories of courses that qualify for funding include core courses, courses in major, writing in the discipline courses, and research intensive courses. Proposals may be submitted for individual faculty, team faculty, or college/department curriculum development projects. Grant awards range from \$5,000 to \$20,000 each. The program was initiated in FY2009 and is expected to continue through FY 2013.

More information may be found at Discovery website: <http://www.uh.edu/discovery>.

Small Grants Program (SGP)

The purpose of the Small Grants Program (SGP) is to provide funding for unique or unusual research and scholarly projects not routinely supported by departments or colleges or currently funded from external sources. Preference will be given to proposals from faculty who presently have limited alternative sources of funding and to proposals that have partial financial support from their department or college. In addition, limited financial assistance may be requested for the publication of books. Any University of Houston tenured or tenure track faculty member who carries a full-time faculty appointment and who has attained the terminal degree in his or her field may apply.

More information on the GEAR awards may be found at <http://www.research.uh.edu/Home/RSC/GEAR.aspx>.

External Funding

Sponsored Research at the University of Houston

Indirect Cost Recovery

It is the policy of the university to obtain full indirect cost from external sponsors whenever feasible and to cost-share academic year time and effort when required by the sponsor.

The Division of Research (DOR)

The University of Houston encourages the seeking of external funds for research purposes. As the primary support organization for research administration at the University of Houston, the Division of Research (DOR) can aid faculty in the identification of potential funding sources and in making preliminary contacts with the agencies. Research Development within DOR is the office that can help faculty with these tasks. The Office of Contracts and Grants (OCG) within DOR is responsible for proposal processing and for the administration of awards after receipt by the

institution. The authorized university signatory on research proposals and on contract documents is primarily that of the Director of the Office of Contracts and Grants; however, others within the Division are also authorized to sign.

In addition, it is usually desirable that all such external sponsored research funds be administered through the OCG. (*For the exception of gifts, see "Other" in section on "Processing of External Funds" below*) Failure to inform the Office of Contracts and Grants of receipt of such funds negatively affects research and instructional activities of the University of Houston because of the following:

- A. These external research funds will not appear in the research category of the financial report to the state, thus effectively reducing the state's funding for research at the University of Houston.
- B. If indirect costs are applicable and are not collected, the financial burden of the overhead of this research will be unfairly carried by the rest of the university.

Consulting activities are not normally subject to this policy. (*See Consulting Policy, pages 117-118.*)

For additional information: Office of Contracts and Grants, 713-743-9222 or visit the website at <http://www.research.uh.edu/Home/Division-of-Research/Contracts-and-Grants.aspx>.

Processing of External Funds

The appropriate processing of funds from external sources is an area of high importance. Following are some general rules governing external funds:

- A. **Research Grants/Contracts.** All requests for research support to external sponsors, including those to industry, private foundations, the state, the federal government, and local government sponsors, should be processed through the Office of Contracts and Grants (OCG). OCG will obtain all necessary institutional signatures once the proposal has been approved by the appropriate department chair(s) and college dean(s). Funds received in support of a research activity require a proposal that has been processed through OCG, a research grant/contract that OCG has reviewed and approved, or some arrangement relating to the receipt of research funds to which OCG has agreed.
- B. **Other.** Occasionally departments receive funds that are not the result of research contracts/grants, research arrangements, or gifts. In this case, the department should inform the Executive Vice President for Administration and Finance in writing of the circumstances surrounding the receipt of the funds. The Executive Vice President for Administration and Finance has the responsibility of ensuring that the university and departmental recipients have an appropriate understanding of the acceptable uses of the funds. After review, the Executive Vice President for Administration and Finance will have the funds placed in the appropriate department accounts.

Responsibility to the Granting Agency

When an award for a sponsored project is made, the awarding agency, whether federal, state, or private, makes the award to the University of Houston. Nevertheless, as the representative on a project, the principal investigator has the responsibility of complying with all rules, regulations, restrictions, and requirements imposed by the granting agency, the State of Texas, and the University of Houston. Failure to meet these responsibilities may jeopardize future funding to the university, the principal investigator, or both. Areas of responsibility include:

- A. Directing the technical aspects of the project;
- B. Providing the agency with technical reports and/or products as set forth in the grant or contract; and
- C. Authorizing all expenditures of award funds.

For further information, refer to the Office of Contracts and Grants publication, Proposal Preparation and Award Administration Guide, available at <http://www.research.uh.edu/Home/Division-of-Research/Contracts-and-Grants/Proposal-Preparation.aspx>.

Fiscal Responsibility

Research Financial Services within the Division of Research is responsible for reporting financial information to the sponsors. As part of overall administrative management, the principal investigator is responsible for initiating expenditures on a sponsored research agreement. These expenditures must adhere to all federal, state and university policies and procedures.

Responsibilities include:

- A. Incurring costs only for services or items that will be used or received during the project period;
- B. Spending no more than the amount allotted by the granting agency for the project period; and
- C. Adhering to limitations that may be placed by the agency on the amount of money that may be spent in any given expense category.

Reimbursement for disallowances or cost overruns is the responsibility of the principal investigator, the department, the college, or the University of Houston. Such situations will be negotiated on a case-by-case basis by the Director of the Office of Contracts and Grants and the Vice President for Research and Technology Transfer.

For further information refer to "Operation of Project" in the OCG Proposal Preparation and Award Administration Guide, available at <http://www.research.uh.edu/Home/Division-of-Research/Contracts-and-Grants/Proposal-Preparation.aspx>.

Purchasing Policy for Sponsored Program Funds

This policy provides guidelines for the procurement of goods and services necessary to support research at the University of Houston. Whether or not formal bidding processes are required for purchases depends upon current state and federal guidelines.

For current guidelines, call: Office of Contracts and Grants, 713-743-9222 or visit its website at <http://www.research.uh.edu/Home/Division-of-Research/Contracts-and-Grants/Proposal-Preparation.aspx>.

Salary Support from External Funding

The University of Houston has adopted the Additional Compensation Policy for Faculty, which is referenced under the Benefits Sections, Compensation on pages 164-166.

In some cases, the discontinuance of external funding has resulted in severe hardship for those faculty members whose income was contingent on the continuation of external funding. Under

these circumstances, the faculty member should consult with the appropriate administrative unit or OCG.

Payments to Human Subjects

Human subjects are individuals whose physiological or behavioral characteristics and responses are under study in a research project. Payments to these individuals and the protection of their confidentiality must comply with the guidelines of the funding agency, the Office of Research Services, the Committee for the Protection of Human Subjects, and the Internal Revenue Service. All projects involving human subjects must be reviewed and approved prior to the start of the project. Researchers should consult with the college business administrator prior to starting the research project to determine the most appropriate method for paying subjects.

See the MAPP policy 05.02.04 website at <http://www.uh.edu/af/universitieservices/policies/mapp/05/050204.pdf>.

Office of Development

The Office of Development is responsible for helping acquire gifts to the university from private donors including individuals, corporations, foundations and other organizations in the Houston community and elsewhere. It does so by working with university officers, faculty, and alumni, and friends of the university to identify, cultivate, and prepare and submit appropriate proposals to donor prospects. It also conducts stewardship activities to recognize existing donors.

Funds designated as gifts to the institution and not defined as research grants/contracts or research arrangements are processed through the Office of Development which reports through the Vice President for University Advancement.

To contact the Office of Development, call 713-743-8880, or visit the website at <http://www.uh.edu/about/offices/university-advancement/>.

Consulting

(UHS Board of Regents policy 57.02.)

Full-time members of the faculty and professional or administrative staff may engage in external consultation or other paid professional services, provided such activities benefit the System and contribute to the professional development of the individual. This privilege is subject in all instances to the conditions set forth below. Failure to comply with this policy may subject an employee to disciplinary action including reprimand, suspension, or termination.

- A. The first responsibility of the individual is to the System, and outside professional commitments should not interfere with the person's full-time responsibility to the System.
- B. No outside obligation should result in any conflict of interest involving the individual's responsibilities to the System or to its programs, policies, and objectives. Consulting and other professional agreements that represent actual or potential conflicts of interest must be avoided. *(See Board of Regents Policy 57.08.)*
- C. Use of System facilities, space, equipment, or support staff for consulting or other paid professional activities is permitted only if a financial arrangement has been concluded between the individual and the administration prior to the employee's beginning the outside consulting or other paid professional service.

- D. Individuals may not represent themselves as acting in the capacity of System employees when conducting consulting or other paid professional activities. The System bears no responsibility for any actual or implied obligations or liabilities incurred by the individual resulting from a consulting or other paid professional agreement or activity.
- E. Faculty who wish to arrange consulting or other paid professional activities must provide prior written notification to their dean. Review by the dean of such activities will include consideration of any real or apparent conflict of interest and the benefit of the proposed service to the System and the component university. Each faculty member who engages in consulting or other paid professional service, including teaching on a temporary basis at other institutions, must ensure that such activities do not require commitments of time averaging more than one day per calendar week, and must arrange such activities so as not to interfere with regularly scheduled classes.
- F. Professional or administrative staff who wish to arrange consulting or other paid professional activities must obtain prior written approval from the appropriate supervisor. While consulting is a recognized aspect of faculty activities with the limitations noted in this document, consulting by professional or administrative staff must be justified on an individual basis by clear and direct benefit to the System.
- G. When any of an individual's salary is paid from funds for externally sponsored activities, the time allowable for consultation or other paid professional activities must comply with sponsor requirements.

Unpaid public service is not included in this policy, nor are occasional lectures which include fees, unless these activities require significant amounts of time or otherwise conflict with regular System obligations.

The Chancellor/President will establish a process for monitoring outside paid professional activities of their faculty and staff in order to ensure that such activities are consistent with the above policy and also serve system purposes. The Chancellor/President will report to the Board of Regents annually on such activities.

Reporting Consulting and Paid Professional Service Activities

Reporting of consulting activities shall be kept as uncomplicated as possible and will consist of a written report to the department chair and dean of the college or the unit administrator at the conclusion of each academic year.

For additional information: consult the Office of the Provost, 713-743-9101.

Intellectual Property

(Board of Regents Policy 21.08)

University research and intellectual endeavors often results in the invention of new technology or the creation of new copyrighted material. Such results may have commercial value. While the production of commercially valuable intellectual property is not necessarily the purpose of university research or the duty of anyone engaged in research and educational activities, the Board desires that both society and each component university under the governance of the Board use all knowledge to the greatest possible benefit. Accordingly, when appropriate, each component university will protect all intellectual property rights in technology and copyrighted material and use diligent efforts to make productive use of such rights for the good of the public, the creator, and the System. When this result is achieved by the attraction of private risk capital, or by the transfer or licensing of rights in technology or copyrighted material, income may be realized, which the Board will seek to distribute in a manner fair both to the creator and to the component university at which the intellectual property was developed. Financial return, however, always remains secondary and incidental to the public service aspect of developing and disseminating knowledge for public use. The Board hereby delegates authority to promulgate specific policies for managing Intellectual Property Rights to the Chancellor/President.

Definitions

- A. **Author** means any person (as defined below) who creates copyrighted material (also as defined below).
- B. **Business participation** means the participation of a person in any activity the purpose of which is the commercial development or exploitation of intellectual property owned by each component university. Such participation includes, but is not limited to an equity interest, a consulting relationship, service on a board of directors or similar body, a royalty interest, stock ownership, or any similar relationship.
- C. **Copyrighted material or work of authorship** means original expression that is fixed in any tangible medium of expression and subject to copyright protection under Title 17 of the United States Code as it now exists or as it may be amended. Under federal law, copyright subsists from the moment of the work's creation, although protection may be enhanced by registration with the United States Copyright Office. Works of authorship currently include:
 - 1. Books, journal articles, texts, glossaries, bibliographies, study guides, laboratory manuals, syllabi, tests, and survey instruments;
 - 2. Lectures and unpublished lecture notes;
 - 3. Musical works;
 - 4. Dramatic works;
 - 5. Works of visual art, such as sculptures and drawings;
 - 6. Architectural works;
 - 7. Films, audiovisual works, slide programs, film strips;
 - 8. Sound recordings and video recording containing original performances;
 - 9. Programmed instruction materials;
 - 10. Computer programs and documentation.
- D. **Creator** means an inventor or author (each as defined elsewhere in this policy).
- E. **Firmware** means computer software, all or a portion of which has been more or less permanently burned or encoded on a read-only memory or equivalent device.
- F. **Intellectual property rights** means those rights of ownership recognized by law in technology, copyrighted material, and computer software and firmware (all as defined in this policy). Intellectual property rights include but are not limited to patents, copyrights, and rights to trade secrets and know-how.

- G. **Inventor** means any person who discovers or invents technology.
- H. **Net income** means, with respect to Board-owned rights in any particular intellectual property and/or copyright, gross revenue received by each component university as a result of the commercialization of such rights, less:
1. any taxes or other charges of any description paid by each component university to governmental agencies in connection with the particular intellectual property, and
 2. all legal and other expenses paid by each component university to affiliates or third parties in filing, prosecuting, maintaining, enforcing, defending, and commercializing such rights in the United States or foreign countries.
- I. **Person** means any part-time or full-time faculty or staff member working at, or student attending, a component university or other entity under the governance of the Board.
- J. **President** means the President of the University under the governance of the Board, or any person the President designates to carry out the component university's intellectual property policy.
- K. **Software** means any program, language, or procedure for a computer system or portion thereof, and any accompanying documentation. Software includes but is not limited to computer programs, internal programs, subroutines, assemblers, generators, subroutine libraries, compilers, operating systems, and application programs.
- L. **Technology** means discoveries, innovations, or inventions.
- M. **University research** means all research, activities, or work within or related to a person's expertise or general area of employment responsibility, or that has resulted from activities performed by the person on university time, with the support of university funds, or using university facilities, including work under a research agreement with an external sponsor and research conducted by anyone, whether or not a person as defined in this policy, who utilizes university resources.
- N. **University support** means direct University support which includes but is not limited to the following:
1. Equipment, materials, and staff services from any of a variety of university departments other than the person's academic department or unit are used in the development of copyrightable materials at no expense to the author or the author's academic department/unit.
 2. Author receives support for the development of copyrightable material, such support being in the form of money in excess of normal salary, reduced teaching load, released time, or other resources from a department, college, or any unit of the university.

Standing Committee on Intellectual Property

- A. **Appointment.** The Chancellor/President shall appoint a Standing Committee on Intellectual Property.
- B. **Duties in general.** In addition to the responsibilities described in the Intellectual Property policy, the committee will advise and recommend to the Vice President for Research and Technology Transfer:

1. Guidelines and procedures for implementation of this intellectual property policy;
2. Proposed amendments to this policy; and
3. Such other matters as the Chancellor/President directs.

Ownership of Technology

The board owns all intellectual property rights for technology that is conceived or reduced to practice by any person engaged in university research. The board has delegated to the Chancellor/President the authority to make the following exceptions:

1. In rare circumstances, the university may agree, in contracts for sponsored research, that the sponsors or other parties will own the intellectual property rights in technology resulting from such research.
2. The university may accept research agreements that, under statutory law, vest intellectual property rights in the technology resulting from such research in an agency of government.
3. After consideration as required by this policy, the university may waive intellectual property rights in technology in favor of the inventor.

Technology Agreement

Every person employed by the university shall execute a "Technology Agreement," a copy of which is available from the President's office. However, the failure of any person to execute the "Technology Agreement" shall not affect the Board's rights under this policy.

Technology Assignment and Execution of Documents

Whether or not a person makes a disclosure of technology as described below, he or she shall execute assignments or any other documents required for the acquisition and protection of board-owned intellectual property rights, including those documents necessary to enable the university to fulfill requirements imposed by agreement or by law.

Disclosure of Technology

Carefully planned methods of transferring board-owned rights in technology will best accomplish the objectives stated in the "Purpose" section of this policy. The university can accomplish those objectives only if inventors promptly disclose technology. Premature publication of information pertaining to discoveries and inventions, or delayed prosecution of patent protection, can damage seriously the ability to obtain patent protection. Therefore, if a person conceives or reduces to practice any technology, that person must disclose such technology to the university as soon as practicable after the date of first conception or discovery. Certain research agreements may require disclosure, and in such a case a person shall disclose technology in accordance with the agreement. To make a proper disclosure, the inventor must prepare, sign, and date a patent disclosure in the form promulgated by the university. The inventor must also include drawings, sketches, and other pertinent data to show the principle of the technology.

Action after Disclosure

- A. The Standing Committee on Intellectual Property shall review the technology upon disclosure and shall recommend to the Chancellor/President that the university adopt one of the following actions:
 1. Institute action to acquire patent protection. The committee shall recommend whether the university should pursue such action itself or refer the technology to a management agency; or license the technology as know-how and/or a trade secret, whether or not it obtains patent protection;
 2. Transfer intellectual property rights in the technology to the research sponsor, if such transfer is required by a research agreement; or
 3. Waive ownership in the intellectual property rights in the technology in favor of the inventor with the university retaining 10% interest in future revenues, should the inventor commercialize the technology that was disclosed. In addition, if the university had invested financial resources for legal protection of the technology prior to waiving ownership, the university shall recoup its legal fees and expenses from future revenues in addition to retaining a 10% interest in the technology. It is noted, however, that any future improvements or modifications developed at the university are considered new inventions and the property of the university and subject to this policy.
- B. After reviewing the committee's recommendation and such other technical consultation as is appropriate under the circumstances, the Chancellor/President shall determine the university's course of action concerning the technology.
- C. The university will act in good faith and will attempt to evaluate all disclosures within a reasonable time. The Standing Committee on Intellectual Property evaluates each disclosure, if adequate (see subsection following), within 120 days from the first scheduled meeting after the disclosure is made. Within 120 days, the committee transmits its recommendation to the Chancellor/President. The Chancellor/President has an additional 60 days to act on the committee's recommendation. If either the committee or the Chancellor/President fails to act on the invention within the relevant time period specified above, the inventor may request, and in response thereto the university may grant, a waiver of the university's rights in favor of the inventor.
- D. If the inventor fails to provide any information pertinent, in the committee's judgment, to evaluation of the disclosure, the disclosure is not "adequate." In such circumstances, the committee shall request the needed information from the inventor, and the calculation of the 120- and 60-day time periods specified in the foregoing subsection shall not begin until the requested information is received by the committee.

Publication

Premature publication of information pertaining to technology could damage seriously the university's ability to obtain patent protection in foreign countries. Accordingly, an inventor may not seek publication of any information pertaining to disclosed technology until the earlier of (1) 90 days after disclosure is made, or (2) the university grants permission for such publication. This requirement is intended only to affect the timing for publication of research findings and shall not be used to infringe upon the academic freedom of any person. However, if the inventor publicly disclosed the invention, the university and members of the Standing Committee on Intellectual Property shall not be held responsible for any loss if patent protection is not secured.

Ownership of Copyrights

The university will not assert ownership of copyright developed by faculty, staff or students, unless separately contracted for, in any: 1. Books, journal articles, texts, glossaries, bibliographies, study guides, laboratory manuals, syllabi, tests, and survey instruments; 2. Lectures and unpublished lecture notes; 3. Musical works; 4. Dramatic works; 5. Works of visual art, such as sculptures and drawings; 6. Architectural works.

The university will assert ownership of copyright developed by faculty, staff or students, with regard to other types of works subject to copyright, namely, 7. Films, audiovisual works, slide programs, film strips; 8. Sound recordings and video recordings containing original performances; 9. Programmed instruction materials; 10. Computer programs, software, and documentation, allocation of copyright ownership will be as follows:

- A. **University Supported Effort.** When a work is created with financial support or resources of the university and the work is not prepared in accordance with the terms of a contract or grant in which the university is a party or as a specific university assignment, the university will own the copyright and the division of royalty and other income will be based on the Net Income Distribution included in this policy. Routine use, as sanctioned by university policy, of library, office space, equipment, supplies, facilities, and personnel within the author's department or college does not, for the purposes of this section, constitute university support.
- B. **Extramurally Sponsored Effort.** Copyright in works developed with support from an outside agency through a contract or grant will be owned by the university. The Chancellor/ President or his designee must approve deviations from the policy.
- C. **University Commissioned Efforts.** Materials or other works produced by employees of the university will be subject to copyright exclusively by the university if the university commissioned the employee to write or produce the specific materials or works. A faculty member's general obligation to produce scholarly and creative works and the receipt of a professional development leave, unless there is a specific agreement to the contrary, do not constitute University Commissioned Efforts as defined in this policy.
- D. **Student copyrights as a result of course work.** The university claims no rights to works created by students in the course of their education, such as dissertations, papers and articles, if the student received no support from a research grant in the form of wages, salary, stipend or a grant from funds administered by the university. The university will own the copyright to works created by graduate students in the course of their assigned duties of employment, including duties as teaching or research assistant as part of an assigned task, where the assignment explicitly states that the work will be owned by the university.
- E. **Categorization issues.** It is recognized that the boundaries among traditional forms of works of authorship may be difficult to apply to certain works in newer media. For example, the line between books and programmed instruction materials may not be apparent. For purposes of this policy, a work whose presentation and use are interactive (other than for purposes of searching the text or otherwise locating material, or for verifying correct answers) will be regarded as a computer program rather than a book. When questions of ownership arise, and until the dispute is resolved, it will be managed as though the university owns the copyright.

- F. **Software and Firmware.** Since the potential exists to protect software and firmware under copyright, patent, and trade secret laws, the author must comply with board policies and regulations governing copyrights and technology.

Disclosure of Copyright

Carefully planned methods of transferring board-owned rights in copyright will best accomplish the objectives stated in the "Purpose" section of this policy. The university can accomplish those objectives only if authors promptly disclose copyrighted material. Therefore, if a person creates copyrighted material, that person must disclose such works to the university as soon as practicable after the date of fixing the original expression in any tangible medium. Certain research agreements may require disclosure, and in such a case a person shall disclose technology in accordance with the agreement. To make a proper disclosure, the author must prepare, sign, and date a copyright disclosure in the form promulgated by the university. The author must also include other pertinent data to show the medium of copyright.

Action after Disclosure

The Standing Committee on Intellectual Property shall review the copyright upon disclosure and shall recommend to the Chancellor/President that the university adopt one of the following actions:

- A. Recommend whether the university should pursue commercialization action itself or refer the technology to a management agency; or license the copyrighted material
- B. Transfer the rights in the copyright to the research sponsor, if such transfer is required by a research agreement; or
- C. Waive ownership in the copyright in favor of the author with the university retaining 10% interest in future revenues, should the inventor commercialize the copyright that was disclosed. In addition, if the university had invested financial resources for legal protection of the copyrighted material prior to waiving ownership, the university shall recoup its legal fees and expenses from future revenues in addition to retaining a 10% interest in the copyright. It is noted, however, that any future improvements or modifications developed at the university are considered new copyrighted material and the property of the university and subject to this policy.

After reviewing the committee's recommendation and such other technical consultation as is appropriate under the circumstances, the Chancellor/President shall determine the university's course of action concerning the technology.

Rights to Fair Use

Where the university owns the copyright, the authors will retain rights to copy and distribute the original work to the extent necessary for classroom use in connection with courses taught by the author at this or another university. In exercising these rights, the author will provide fair attribution to the University of Houston for having supported the original work. The author will include the copyright notice. Where the author owns the copyright, the university will retain rights to fair use, archival and library reproductions, and performance and display of such works.

Revision of Materials and Works

Works to which the university, under the terms of this policy, owns the copyright shall not be altered or revised without providing the author a reasonable opportunity to assume the responsibility for the revision. If the author declines the opportunity to revise such material, the Chancellor/President in consultation with the appropriate department or office will make the assignment of responsibility for the revision.

Withdrawal of Materials and Works from Use

Materials and works to which the copyright is owned by the university, under the terms of this policy, shall be withdrawn from use when the university in consultation with the author deems such use to be obsolete or inappropriate. No withdrawal or other discontinuance shall take place that would violate the terms of any licensing or other agreement relating to the materials or works.

Reimbursement of Expenses

In those instances where the university takes copyright ownership pursuant to this policy, any gross revenue received as a result of commercializing any work of authorship developed or created at the university must first be applied to recovering expenses associated with creation of such work and with exploitation of the copyright therein. Thereafter, revenue will be allocated to the authors and the university in the same manner as net income in the case of patented inventions.

Apportionment among Authors

When there is more than one author of a work, the shares to the respective authors shall be distributed in the proportions set forth on the disclosure form submitted to the Standing Committee on Intellectual Property. If no disclosure has been submitted, then by agreement between the authors, or in the absence of such agreement, the proportions will be determined by the Chancellor/President after affording an opportunity for hearing those concerned.

Resolution of Copyright or Equity Disputes

A University Copyright Appeals Committee, an Ad Hoc Subcommittee of the Standing Committee on Intellectual Property, shall review the applications for the resolution of copyright or equity disputes and shall submit its recommendation to the Chancellor/President. Either the employee or the Vice President for Research and Technology Transfer may request a review. The Copyright Appeals Committee shall be appointed by the Chancellor/President from nominations submitted by the Standing Committee on Intellectual Property and shall function in accordance with policies and procedures established by the Standing Committee on Intellectual Property and reviewed by the University Faculty Senates. The Chancellor/President's decision will be binding on all parties, and will be conveyed to all involved in a timely fashion, but must be conveyed within 60 working days.

For more information visit the website for the Intellectual Property Standing Committee at <http://www.research.uh.edu/IPM/Committee/>.

Copyrights and Copyright Infringement Laws

The U.S. Copyright Law (Title 17 U.S. Code) details copyright infringement, which is the act of reproducing or distributing a copyrighted work, without permission or legal authority of the copyright owner. Illegal downloading or uploading of music, movies, software or any substantial part of a copyrighted work without authority constitutes an infringement.

In accordance with established university policy, the University of Houston will follow U.S. Copyright Law (Title 17 U.S. Code) in dealing with allegations or violations of copyright infringement. See also SAM 07.A.04, *Digital Millennium Copyright Act*, and SAM 07.A.02, *The Ethical and Legal Use of Personal Computer Software*. For more information about copyrights, visit the U.S. Copyright Office at <http://www.copyright.gov>, and especially their FAQ's at <http://www.copyright.gov/help/faq>.

Commercialization of Board-Owned Intellectual Property

The Board policy is to make productive use of intellectual property and copyrighted material for the good of the public, the creator, and the System. To achieve this goal, each component university may license, transfer, or otherwise commercialize Board rights in technology or copyrighted works developed by its faculty, staff, and students. To manage this process, each component university operates a licensing and transfer program and requires strict compliance therewith. Each component university also encourages creators themselves to seek potential licensees and transferees, or to notify the university of such individuals or companies. In all instances, the component university must be involved in any negotiation of a commercialization agreement concerning Board intellectual property rights in technology or copyrighted works, and must give final approval to any such agreement.

Net Income Distribution

A. **Reimbursements to System.** The Board recognizes the healthy symbiotic relationship that, by this policy, it seeks to foster between itself and persons associated with the university. Of necessity, the university will receive all gross revenue received as a result of commercializing any intellectual property rights developed or created at the university and this must first be applied to recovering the expenses listed in the definition of "net income" above. Thereafter, the creator(s) of the intellectual property has a residual economic interest, to be paid out according to the schedule in the following subsection.

B. Creator's Residual Economic Interest

1. 40% of Net Income shall be paid to the Creator(s) thereof in the proportions set forth on the disclosure form submitted to the Standing Committee on Intellectual Property (in the case of patents and other technology) or on the title page of the copyrighted work.
2. Thereafter, unless the Standing Committee on Intellectual Property recommends, and the Chancellor/President adopts, a different distribution, the remaining Net Income derived from commercialization of the Intellectual Property Rights shall be distributed as follows:
 - a. 40% to the university;
 - b. 13% to the creator(s) academic department(s) or research center(s) in proportion to the research budget allocation;
 - c. 7% to the College(s) in proportion to the research budget allocation.
3. When there is more than one creator, the foregoing shares to the creator shall be distributed in the proportions set forth on the disclosure form submitted to the Standing Committee on Intellectual Property (in case of patents or other technology) or on the title page of the copyrighted work.

- C. **Time of Distributions.** The sums referenced in the foregoing schedule shall be distributed annually to the creator(s) or the university as soon as practicable after the close of the fiscal year during which the income was received.
- D. When equity, in the form of stocks, is received as part of the royalty agreement, the company shall be directed to issue 40% of the stocks to the Creator(s) and the remainder of the stock shall be distributed to the university. In the event a Creator receives stocks from the company, the Creator shall elect to receive stock from either the university or the company, but not both.
- E. The distribution with the university shall be as follows:
 - 1. The entire university share will be distributed to a component that has incurred the costs of development, protection of the Intellectual Property and Marketing;
 - 2. If the University of Houston System or another component has contributed financially to the commercialization of the Intellectual Property, the Chancellor/President or his/her designee shall determine the equitable distribution of the university share;

Faculty Awards

Esther Farfel Award

The annual Esther Farfel Award, the highest honor accorded to a University of Houston faculty member, is a symbol of overall career excellence. It carries a cash prize of \$10,000. Nominees must be full-time tenured faculty who have held continuous appointment at the university for at least five academic years. Nominees must demonstrate excellence in all areas of faculty responsibility including the significance and national/international impact of the individual's research or creative activity, evidence of outstanding teaching ability, and distinctive and exemplary service to the university, the profession, and the community.

John and Rebecca Moores Professors

The Moores Professors Program was established to honor full-time tenured faculty who have achieved the rank of full professor at the University of Houston and who have made outstanding contributions that include: documented excellence in research, scholarship, and/or creative activities with a clear distinction on a national and/or international level; documented excellence in teaching or mentoring at the undergraduate and/or graduate level with a clear distinction on a national and/or international level; and outstanding participation in governance or other uncompensated services at departmental, college, university, national, or international levels.

The purpose of the Moores Professors Program is to encourage and support continued excellence by providing funds for individual career development. Selection of faculty to become Moores Professors will be accomplished through competitive review following nomination by individuals, department chairpersons, or deans. Occasionally, the Senior Vice President for Academic Affairs and Provost will include a Moores Professorship in a recruitment package for a faculty candidate. Each Moores Professor will receive an annual stipend of discretionary funds in the amount of \$10,000. The position will be awarded for a period of five years subject to revocation for cause and with the possibility of renewal.

Teaching Excellence Awards

The University of Houston Teaching Excellence Awards for outstanding faculty and teaching assistants/fellows carry cash prizes of \$8,000 for faculty and \$3,500 for teaching assistants/fellows. Teaching Excellence awards will be granted to no more than eighteen faculty and no more than four awarded to graduate teaching assistants. There are eight categories of nomination under the Teaching Excellence Awards.

Faculty may be nominated for all categories for which they may be eligible. The committee has the option to consider nominees for more than one category for which the nominee may be eligible but will award no more than one award to a nominee for that award year. Previous recipients are eligible for nomination in the sixth academic year following a prior award, with the exception of the Career Award (Category 7) which may be awarded only once to an individual. Faculty nominees (except for Category 4) must be tenured or tenure track faculty who have been in residence at the University of Houston for at least two academic years prior to the year of nomination. Nominees for Category 4 must have been on the faculty at least half time for three years prior to nomination. Category 5 nominees must be currently enrolled as graduate students and must have held teaching responsibilities for at least two academic semesters.

Category 1: Teaching Excellence

Nominations accepted for exceptional tenured or tenure-track professors who have demonstrated excellence in teaching. No more than five awards may be presented.

Category 2: Provost Core

Nominations accepted for tenured or tenure-track faculty who have demonstrated excellence in teaching University Undergraduate Core Curriculum courses. No more than three awards may be presented.

Category 3: Innovation in Instructional Technology

Nominations accepted for tenured or tenure-track faculty who have demonstrated excellence in innovative teaching using instructional technology, possibly including but not limited to hybrid courses, online courses, and instructional television. No more than two awards may be presented.

Category 4: Instructor/Clinical

Nominations accepted for excellence in teaching demonstrated by faculty, who do not have tenure or tenure-track positions, including Instructors, Clinical Faculty, Research Faculty, Artist Affiliates, and Lecturers. No more than two awards may be presented.

Category 5: Graduate Teaching Assistant

Nominations accepted for teaching assistants/fellows who have demonstrated excellence in teaching. No more than two awards may be presented.

Category 6: Community Engagement

Nominations accepted for full-time faculty who involve students in service to the community through service learning activities or community engagement projects related to courses that they teach demonstrating leadership in advancing students' civic learning, fostering reciprocal community partnerships, building institutional commitments to service-learning and civic engagement, and other means of enhancing higher education's contributions to the public good.

Category 7: Career Award

Nominations accepted for tenured faculty who have demonstrated excellence in teaching over the course of their careers at the University of Houston. The recipient must have been on the faculty at the University of Houston for at least twenty years. No more than one award may be presented. An award in this category may only be presented once to a faculty member.

Category 8: Distinguished Leadership Teaching Excellence Award

Nominations accepted for full-time tenured faculty at the rank of associate or full professor who have made sustained and significant contributions to education within the context of their responsibilities as a full-time faculty member. One prize of \$25,000, broken into a \$15,000 cash award and \$10,000 in departmental support, will be awarded in recognition to the finest among the University of Houston's full-time tenured faculty for demonstrated educational excellence in teaching, and in the scholarship of teaching and learning.

Group Teaching Excellence Awards

The Group Teaching Excellence Awards recognize clusters of faculty in both formal and informal programs who demonstrate a strong commitment to teaching and student success. Two

cash prizes of \$30,000 will be available for awards to groups of faculty who have worked together collaboratively to improve student outcomes and who demonstrate effective and innovative teaching.

One award for a faculty group demonstrating longitudinal teaching excellence in an undergraduate core course or series of courses,

One award for a faculty group demonstrating longitudinal teaching excellence in an undergraduate or graduate course or series of courses that show evidence of improved student outcomes (e.g. improved retention, reduction of withdrawals, failures and low grades, etc.)

Awards for Excellence in Research and Scholarship

The University of Houston Awards for Excellence Awards in Research and Scholarship carry cash prizes of \$5,000 and are granted annually to two faculty members in each of the following categories:

Full Professor: Candidate will have compiled a substantial continuing record of outstanding research, scholarship, or creative activities. Nominees for this award must have achieved pre-eminence in their field. At the time of nomination, an individual must have at least five (5) years service at the University of Houston.

Associate Professor: Candidate will have established a growing record of outstanding research, scholarship, or creative contributions, and will be at the point of emerging leadership in their field. At the time of nomination, an individual must have at least three (3) years service at the University of Houston.

Assistant Professor: Candidate will have demonstrated great potential in research, scholarship, or creative endeavors by virtue of the exceptional quality of their early contributions.

An individual can receive an award only once at each faculty rank.

Provost Faculty Advising Award

The University Advising Award Committee will select one faculty advisor to receive the Provost Faculty Advising Award for excellence in undergraduate academic advising. The recipient will receive a plaque and monetary award of \$1000. Any faculty member whose responsibility is to provide academic advising services to undergraduate students at the University of Houston may be nominated for this award. Self-nominations are also accepted. Previous recipients are eligible for nomination in the sixth academic year following a prior award.

For more information on awards, visit <http://www.uh.edu/provost/shared-interest/awards/> or <http://www.research.uh.edu/Forms/Awards-for-Excellence.aspx>.

Responsibilities to Students

The University of Houston is committed to provide a high quality educational environment for all undergraduate, graduate, and professional students, and to continually improve the processes that serve those students.

Within the general context of professional responsibility toward students, the University of Houston emphasizes and encourages faculty cooperation in the following areas:

- A. Faculty are expected to be available for consultation with students, to respect the civil and institutional rights of students, to deal equitably and fairly with them in academic matters, to support students in their own development within the university community, and to set a high example of professional conduct with respect to both personal and corporate responsibilities and ways of dealing with ethical issues.
- B. With regard to student records, policies have been developed that are consistent with applicable federal and state laws and regulations. (*For information regarding some of these policies, see "Confidentiality of Student Records," pages 132-134.*) Faculty are expected to be familiar with and observe these policies.
- C. Faculty are expected to understand and comply with provisions made for participation by students in university decision making, both university-wide and within the subordinate units. The schools, colleges, and departments, on their part, may arrange for consultation with students and their participation in administrative committees.

Faculty are required to return all evaluated student material to the students or retain it for a six month period after the end of the last class of the semester evaluated.

The university has established procedures regarding the granting of credit, the assigning of grades, the establishing of degree requirements, and the advising of students. Similarly, procedures exist for handling disciplinary matters, student grievances, and sexual harassment. Specific information on such policies may be found elsewhere in this handbook or may be requested from the dean of the college, the Office of the Vice President for Research and Technology Transfer, the Office of Graduate and Professional Studies, or the Office of the Dean of Students.

Accommodating Students who Have Disabilities

If students believe they need academic accommodation, it is their responsibility to register with the Center for Students with DisABILITIES (CSD). Faculty should refer students who inquire about possible academic accommodations to CSD. It is the student's responsibility to provide the faculty member with documentation showing they have registered with CSD and received an approved recommendation for academic accommodations. Faculty have the responsibility to work with CSD to provide reasonable accommodations to eligible students.

Each faculty member has an obligation to be aware of University of Houston policies and procedures regarding equal educational opportunities for all of its students. Faculty may take advantage of frequently updated information on students with disabilities disseminated by CSD and the informational website sponsored by the Office of Academic Affairs. Faculty are encouraged to contact CSD staff with questions or concerns.

Faculty members should communicate in their syllabi that students who need an accommodation under the Americans with Disabilities Act or any other state or federal law should notify the Center for Students with DisABILITIES.

Suggested wording for syllabus:

"The University of Houston complies with Section 504 of the Rehabilitation Act of 1973 and the American with Disabilities Act of 1990, pertaining to the provision of reasonable academic accommodation for students identified as disabled under the law. In accordance with 504/ADA guidelines. UH strives to provide reasonable academic accommodation to students who request and require them. If you believe you have a disability requiring an accommodation, please contact the Center for Students with DisABILITIES at 713-743-5400 or <http://www.uh.edu/csd/>."

Religious Holy Days Policy

The University of Houston respects the religious observances of students even though they may conflict with university class meetings, assignments, or examinations.

The University of Houston excuses a student from classes or other required activities, including examinations, for the observance of a religious holy day, including travel for that purpose. A student whose absence is excused under this policy shall be treated consistently with the instructor's policies and procedures relating to other excused absences, except that no instructor's policy may deny the opportunity for make-up work and examinations, as described below.

Students are encouraged to inform instructors about upcoming religious holy days early in the semester to enable better planning and coordination of work assignments (and examinations). Instructors are encouraged to announce reasonable time periods for make-up work (and examinations) in the course syllabus and to make clear the consequences of a student's failure to meet such time requirements.

If a student and an instructor disagree about whether the absence is for the observance of a religious holy day, or if they disagree about whether the student has been given a reasonable time to complete any missed assignments or examinations, either the student or the instructor may appeal to the Office of Academic Program Management. All parties must abide by the decision of that office.

Eligible religions are those whose places of worship are exempt from property taxation. Copies of the state law are available in the offices of the Senior Vice President for Academic Affairs, the Dean of Students, and the A.D. Bruce Religion Center.

Academic Calendar and Course Listings

The University of Houston no publishes a Class Schedule which, in the past, contained information such as the enrollment process, course offerings, academic and administrative offices, advisors, final exams, and general university information. Class Schedule and supporting information is accessible via the UH website at <http://www.uh.edu>. Faculty should familiarize themselves with the most current information available.

Confidentiality of Student Records

Student records are released by the Office of Registration and Academic Records, colleges, and departments for use only by faculty and staff for authorized university-related purposes. The release of student records for off-campus use occurs only with the student's knowledge and consent, or

where required by law. Release of student records for off-campus use is normally channeled through the Office of Registration and Academic Records with some certain exceptions, i.e., college or departmental recognition or announcements.

Retention and maintenance of student records must be in compliance with the Family Educational Rights and Privacy Act of 1974 (FERPA, 20 U.S.C. § 1232g). FERPA prohibits the disclosure of a student's educational records without his/her prior consent, except in circumstances specified in the act. In addition, FERPA provides all students access to their own educational records. All student records should be kept in locked areas and handled in a security-conscious manner. Student records must be hand-carried only by faculty or university staff to the Office of Registration and Academic Records. Student records should not be sent through inter-office mail.

Certain information contained in a student's educational record is deemed directory information and may be released without the student's prior written consent unless the student has made a request to withhold this information. Directory information is defined in the Student Handbook. It may be updated and should be checked on the website at <http://www.uh.edu/dos/publications/handbook.php>. Currently, directory information includes:

1. Name
2. Address
3. University assigned e-mail address
4. Telephone listing
5. Date and place of birth
6. Major field of study
7. Degrees, awards and honors received
8. Dates of attendance
9. Last educational institution attended
10. Classification
11. Participation in officially recognized activities and sports
12. Weight and height of athletic team members
13. Enrollment status
 - Undergraduate or graduate student
 - Full-time or part-time

No other information may be released through any University of Houston office by telephone, and no other information should be released to persons other than the student without permission from the student, or where required by law or upon subpoena.

Students who wish to protect directory information from disclosure should do so by notifying the Office of Registration and Academic Records during the first week of classes; however notification may also be made after that time. A request made to withhold directory information remains in effect until revoked in writing by the student. The record of any student who has requested the university to withhold public information will have a message stating "DO NOT RELEASE PUBLIC INFORMATION." If the message appears, the only people allowed to view student information should be authorized faculty and staff and the student.

It is critical that all staff working with computer terminals accessing student academic and demographic information be informed of and understand these restrictions. The only people allowed to view a student's information should be authorized faculty and staff and the student. In addition, employees should be urged to memorize access and entry codes instead of displaying them or keeping them "handy."

If students request information in person, they must present picture identification before any information other than public information may be released. Information pertaining to a student may be disclosed to the student's parents or legal guardian with the prior written consent of the student or without prior written consent if the student is a dependent as defined by the Internal Revenue Code of 1954. Parents should be sent to the Office of Registration and Academic Records to fill out a Request for Release of Records based on Dependency of Student form. They must be willing to present proof of dependency by providing a copy of their last income tax return.

Disposal of student record information should be done with confidentiality in mind, by either shredding or mutilating the record before it is thrown away.

Questions regarding these policies should be directed to the Office of Registration and Academic Records, 713-743-1010.

Classroom Protocol

Faculty are expected to be familiar with all policies regarding academic programs, including those governing grading, advising, scheduling of examinations, and so forth. A few of these policies are referred to below. For complete statements of all such policies, see the Undergraduate and Graduate and Professional catalogues.

Final Examinations

Final examinations, if given, shall be given during the time and date designated in the official university class schedule. Any exception to this policy must be approved in writing by the dean of the college in which the course is taught and announced by the instructor to the class no later than the last day to drop a course.

If during the summer a final examination is scheduled to conflict with a scheduled class, the final examination shall take precedence over the class and the instructor of the class shall not penalize any student who misses the class to take the final exam. The student who has the conflict shall notify both instructors of that conflict as soon as possible, but no later than the week before the scheduled exam. The student's absence from class shall be considered to be official, and the instructor shall allow the student either to make up missed work or be exempt without penalty from making it up.

An instructor shall not require previously unscheduled work in the form of tests, papers, or reports during the 14 calendar days prior to the examination period of each semester or five calendar days prior to the examination period of each summer session.

There shall be no required undergraduate class meetings, other than for final examination purposes, after the last day of classes. There shall be no final examinations during the reading period.

Classroom and Laboratory Examinations

For purposes of security and to ensure that assistance is available with testing instructions, it is expected that someone familiar with the examination being administered, either the instructor or a designee, will be present in the room during the examination period. It is recognized that such an expectation is not always appropriate, e.g., when an honor code is in force, for graduate seminars, or when the format of the examination makes it unnecessary.

Posting of Grades/Distribution of Student Work

The University does not require and does not recommend posting grades. If grades are posted, student confidentiality must still be maintained. Accordingly, grades should not be posted using name, social security or PeopleSoft numbers or other information that would allow someone other than the student to identify the owner. As a corollary to the posting of grades, confidentiality of student work must also be maintained. For example, a faculty member could confidentially assign random numbers to the students in a particular class, and post grades according to the randomly assigned numbers. When returning student work, faculty must exercise caution to maintain confidentiality as described above.

Incomplete (I) Grades

The grade of "I" (Incomplete) is a conditional and temporary grade given when students are either **(a)** passing a course or **(b)** still have a reasonable chance of passing in the judgment of the instructor but, for non-academic reasons beyond their control have not completed a relatively small part of all requirements. Students are responsible for informing the instructor immediately of the reasons for not submitting an assignment on time or not taking an examination. Students must contact the instructor of the course in which they receive an I grade to make arrangements to complete the course requirements. Students should be instructed not to re-register for the same course in a following semester in order to complete the incomplete requirements.

The grade of "I" must be changed by fulfilling the course requirements within one year of the date awarded, or it will be changed to an "F" (or to a "U" in S/U graded courses). The instructor may indicate a time period of less than one year to fulfill course requirements, and the grade may be changed by the instructor at any time to reflect work completed in the course. The grade of **I** may not be changed to a grade of **W**. For further guidelines on this policy please refer to the Undergraduate Studies Catalog

Dropping Courses

Students are expected to commit themselves to courses as early as possible in order to succeed. The last day to drop or withdraw from a course without receiving a grade is the Official Reporting Day (ORD). Please see the [academic calendar](#) for the exact date.

Before dropping courses:

1. Students receiving financial aid should see a financial aid advisor
2. All F-1 and J-1 international students must see an advisor in the International Student and Scholar Services Office
3. Business majors must secure permission from the Office of Undergraduate Business Programs in the Bauer College of Business
4. Athletes must see the Associate Director of Athletics for Student-Athlete Services

Beginning in Fall 2007, all students (current, transfer, and first time in college students) will be permitted a total of six (6) withdrawals (Ws), whether student or instructor initiated. Ws may be used at any time during their college career to drop a course up through the last day to drop a course or withdraw from all courses. When these six Ws have been used, the student must complete all subsequent courses. When enrollment in a course requires concurrent enrollment in another class (e.g. lecture/lab combination), the dropping of such a course combination, whether

for credit or not, will count as one withdrawal if dropped within the same term. The academic department offering the course must verify the concurrent enrollment requirement.

The last day to drop a course with a W is near the end of a term. The specific term deadline is posted on the [academic calendar](#).

Through the last day to drop a course with a grade of W, enrollment in a course may be terminated in any one of the ways listed below. Termination of enrollment does not entitle the student to receive a refund of tuition and fees if the drop date is after the refund date. Should an attempted drop result in exceeding the six W limit, the student will remain enrolled in the course and the instructor will assign the grade earned, which may be an F.

1. Undergraduate students who wish to drop a course must do so online by logging in to their myUH account at <https://my.uh.edu>.
2. Through the last day to drop a course with a grade of W, an instructor may drop students for any one of the reasons listed below. After the last day to drop a course and until the official closing date of the term, instructors may drop students for one of the reasons listed below only with the approval of the dean of the college offering the course. Instructors should notify students of this action.
 - a. Lack of prerequisites or corequisites for the course listed in the current catalog. Students who enroll in a course for which they are not eligible and remain in the course knowingly misrepresent their academic records or achievements as they pertain to course prerequisites or corequisites and are in violation of the university's Academic Honesty Policy.
 - b. Excessive absences.
 - c. Causes that tend to disrupt the academic process (except those actions involving academic honesty, which come under the jurisdiction of the academic honesty policy). Disruptive behavior includes the use of or the failure to deactivate cell phones, pagers, and other electronic devices likely to disrupt the classroom. Students may appeal such a decision in writing within 30 days through the office of the dean of the college in which the course is taught.
3. After the last day for dropping courses, undergraduate students may be dropped from a course with a W, only for rare, urgent, substantiated, non-academic reasons. Students wishing to initiate such actions must submit the request in writing to the Senior Vice President for Academic Affairs (or designated representative) with accompanying documentation. Students have 90 days after the posting of a grade to initiate this action. Until a decision on this request has been made, the instructor should assign whatever grade is appropriate other than an Incomplete. The review procedure will be the same as that applied for consideration of medical and administrative withdrawals. The student and instructor will be notified in writing of the final decision.

The effective date recorded for termination of enrollment for all matters relating to University of Houston records will be the date the student drops the course through his/her myUH account at <https://my.uh.edu> or the date the properly approved enrollment change request form is processed by the Registrar's Office at the Welcome Center.

Students are responsible for verifying that they have been dropped from a course by logging in to their myUH account at <https://my.uh.edu> or at the Registrar's Office in the Welcome Center. Students may not receive a W for a course in which they have been found guilty of a violation of the Academic Honesty Policy. If a W is received prior to a guilty finding, the student will become liable for the Academic Honesty penalty, which may be a grade of F.

Term withdrawals (dropping to zero credit hours) do not count toward the limit of six Ws. [Texas Education Code §51.907](#) provides that, except for several specific instances of good cause, undergraduate students who enrolled for the first time in a Texas public institution of higher education in Fall 2007 or after will be limited to a total of six dropped courses during their entire undergraduate career. This statute applies to courses dropped at public institutions of higher education in Texas including community and technical colleges, health science centers that offer undergraduate programs, and universities. Courses dropped at independent/private institutions, or at colleges and universities outside of Texas, do not count against the student's six drop limit. Students may also refer to the [Texas Administrative Code §4.10](#).

For more information, visit the Provost Office website at <http://uh.edu/provost/fac/fac.html>

Student Evaluations of Teaching

Student evaluations will be conducted in all regular credit courses taught by instructors of record at the University of Houston. These evaluations should be used to assist and encourage teachers to improve their courses and instructional techniques. In addition, these evaluations will be used as one of the components in personnel decisions.

Each college should develop evaluation instruments and procedures that are appropriate for the academic programs of the college. These evaluation instruments and procedures will be reviewed by the Provost. Student evaluations of teaching (with narrative comments omitted) will be compiled in a uniform format by the department/college and will be housed in a central location in the library for general public access. These evaluations will be made available, under appropriate supervision, to anyone requesting them.

Exceptions to these policies must be approved by the Provost.

Medical Withdrawal Policy for Undergraduate Students

Undergraduate students seeking medical withdrawal must follow the policy detailed in the Undergraduate Studies Catalog. For undergraduate and post-baccalaureate students the responsible officer is the Senior Vice President for Academic Affairs.

- A. The responsible officer (or designated representative) may grant medical withdrawals to students who must withdraw for medical reasons from all courses for which they are registered at the University of Houston. Requests for medical withdrawal must be completed by the end of the semester following the semester in which the coursework was taken. Medical withdrawals do not guarantee an automatic refund of tuition and fees to the student. Refunds for tuition and fees are determined by the Student Financial Services refund schedule deadlines.
- B. Students who receive medical withdrawals after the last day to withdraw without receiving a grade shall receive a grade, a W or an F in each course for which they were registered.
- C. Students who receive medical withdrawals must obtain permission from the responsible officer to enroll again at the University of Houston.
- D. Under extenuating circumstances, the responsible officer may apply this policy retroactively.

Procedures for Medical Withdrawal for undergraduate students are available from the *Student Handbook* at http://www.uh.edu/academics/catalog/general/acade2.html#med_withdr.

Administrative Withdrawals

A student may request withdrawals from all courses in which the student is enrolled in cases when the student experiences an extenuating personal or family situation, beyond the control of the student, that impedes academic progress. For further information on the policy guidelines please refer to the Undergraduate Studies Catalog.

Medical Withdrawal Policy for Graduate and Professional Students

Decisions regarding medical withdrawals are best handled at the local departmental/college level. However, the dean of the college may, at his or her discretion, request advice from Graduate and Professional Studies regarding individual cases.

The dean of the college of the student's major (or designated representative) may grant medical withdrawals at any time to graduate and professional students who must withdraw for medical reasons from all courses for which they are registered at the University of Houston.

Students who receive medical withdrawals after the last day to withdraw without receiving a grade shall receive an "I", a "W", or (in some instances) a grade, in each course for which they were registered.

Graduate and professional students who receive medical withdrawals must obtain permission from their college dean to enroll again at the University of Houston.

Under extenuating circumstances, the dean may apply this policy retroactively.

Procedures for Medical Withdrawal for graduate and professional students are available in the *Graduate and Professional Studies Catalog* at http://uh.edu/grad_catalog/.

Disruptive Behavior

The University respects the rights of free speech and free expression under the First Amendment to the U.S. Constitution. The University is also cognizant of its obligations and responsibilities toward its employees, that is, the responsibility of the University to maintain a safe and productive work environment. The University has developed a Freedom of Expression Policy (below), which is encompassed in MAPP 13.01.01, which applies to both students and employees.

The University has also developed a student disciplinary code, which in part, addresses certain disruptive behavior that is prohibited on the University's campus. Individuals are not to engage in activities that are unlawful or disruptive to the normal operations of the University including classes and University business activities. See University of Houston Student Handbook, under Student Life Policies.

A faculty member who believes a student has violated the disciplinary code should refer the actions of the student to the Dean of Students Office by submitting a "student life referral." Upon receipt of the student life referral, the Dean of Students Office will handle the matter in accordance with the disciplinary procedures found in the student handbook. However, under certain circumstances, more immediate action should be taken. For example, if an individual feels physically threatened by the disruptive behavior of a student, the University of Houston's Department of Public Safety (UHDPS) should be contacted immediately. Additionally, a student who is disrupting the business activities of the University, and who refuses to leave the area when asked to do so, should be informed that UHDPS will be contacted if they fail to leave the area. If the student still refuses to leave the area, UHDPS should be contacted.

The University of Houston is committed to providing a learning environment that promotes the safety and well being of its students and that is conducive for its students to develop to their fullest potential. To this end, the University has established the Conduct Assessment and Response Team (CART) in order to provide a proactive, multidisciplinary, and collaborative approach to assessing and responding to students who exhibit threatening and/or concerning behavior. Any faculty member who has concerns regarding particular students who exhibit these behaviors, should report to the CART team through its website at (<http://www.uh.edu/cart>) or through the Dean of Students Office. The website provides guidance on reporting behavior.

For more information, see MAPP 13.01.01 regarding Freedom of Expression and MAPP 13.01.02 regarding the Conduct Assessment and Response Team; see also the publication from the Dean of Student's Office regarding dealing with disruptive student behavior at <http://www.uh.edu/dos/pdf/Civilityflyer.pdf>.

Freedom of Expression

The University of Houston is committed to fostering a learning environment where free inquiry and expression are encouraged. The University expects that persons engaging in expressive activities will demonstrate civility, concern for the safety of persons and property, respect for University activities, respect for those who may disagree with their message, and compliance with university policies and applicable local, state, and federal laws. The University of Houston maintains its right to regulate reasonable time, place, and manner restrictions concerning expressive activities. Additionally, any activities that are unlawful or disruptive to the normal operations of the University including classes and university business activities will not be tolerated. The purpose of the University of Houston Freedom of Expression Policy (MAPP 13.01.01) is to provide for organized expressive activity to be conducted on the grounds of the university in a manner consistent with these principles. Groups or individuals engaging in disruptive activities or failing to comply with university policies and applicable local, state, and federal laws may face immediate removal from the campus and other appropriate actions by University officials and University police.

The Freedom of Expression Policy is applicable to University of Houston students, faculty, staff, and others who wish to engage in non-curriculum related organized expressive activities (as defined by MAPP 13.01.01) at locations on university property. This policy does not apply to official University activities. University grounds and buildings are reserved for use by University of Houston students, faculty, and staff, except as otherwise permitted by policies of the university. Organized expressive activities permitted under this policy do not imply official endorsement by the University. Groups or individuals engaged in expressive activities are responsible for the content of the expression.

The University of Houston Freedom of Expression Policy identifies the locations where organized expressive activities are permitted, the process and deadlines for the reservation of outdoor space, the hours of and decibel levels for permitted amplified sound, and the process for the distribution of literature or printed materials.

A copy of this Policy may be obtained from the Dean of Students Office, Room 252, University Center or from the website at <http://www.uh.edu/af/universityservices/policies/mapp/13/130101.pdf>.

Questions regarding this policy may be directed to the Dean of Students Office, Room 252, University Center, 713-743-5470, or visit the website at <http://www.uh.edu/dos/>.

Academic Honesty Policy

Article 1. General Provisions

1.01 Rationale. The university can best function and accomplish its objectives in an atmosphere of high ethical standards. It expects and encourages all students, faculty and staff to contribute to such an atmosphere in every way possible and especially by observing all accepted principles of academic honesty. It is recognized, however, that a large university will include a few students who do not understand, appreciate, and practice these principles. As a consequence, alleged cases of academic dishonesty will inevitably occur, and students will be accused. The following procedures are designed to handle these cases in fairness to all concerned: the accused student, the faculty, and the university.

1.02 General Jurisdiction. Matters relating to academic honesty are within the general jurisdiction of the Senior Vice President for Academic Affairs and Provost. Allegations of scientific misconduct against students engaged in research supported by funding from the university or other sources will be handled according to the University of Houston Ethical Conduct in Academic Research and Scholarship Policy (contact the Division of Research at 713-743-9222 for a paper copy or at <http://www.research.uh.edu> on the World Wide Web).

1.03 College with Jurisdiction. Specific jurisdiction in academic honesty matters rests in each school or college of the university. The school or college with jurisdiction is determined by the course in which dishonesty occurs. If the student involved majors in a college other than that offering the course, the college offering the course has jurisdiction, but the dean of the student's major college will be informed. If the college with jurisdiction cannot be determined from the relationship between the alleged actions of a student or group of students and a particular course, then the Provost will designate which has jurisdiction.

1.04 Colleges to which the Policy Applies. The policy on academic honesty applies to all colleges within the university. However, any college may present to the Provost a code separate from this university policy. After approval by the Provost, and after such publication as the Provost shall direct, academic honesty matters over which that college has jurisdiction shall be governed by that code. Honor systems within the professional colleges are especially encouraged.

1.05 Questions Regarding Applicability of Policies. All questions regarding the applicability of college codes or university policy or special provisions of either shall be determined finally by the Provost.

1.06 Compass of Actions Taken Against Students. Actions taken against students are university-wide in their effect.

1.07 Faculty Responsibility. Faculty have the responsibility of reporting incidents of alleged academic dishonesty through their department chair to their dean.

1.08 Student Responsibility. Students have the responsibility of reporting incidents of alleged academic dishonesty first to the instructor involved, or to the appropriate authority if the alleged act is not associated with a specific class.

1.09 Purpose of Procedures. The purpose of these procedures is to provide for the orderly administration of the Academic Honesty Policy consistent with the principles of due process of law. Reasonable deviations from these procedures will not invalidate a decision or proceeding unless the Provost determines, upon written appeal from the accusing and/or accused parties, that it will result in prejudice to one or more of the parties involved.

1.10 Instructor Responsibility. Instructors shall have the responsibility of taking action with respect to incidents of alleged academic dishonesty in accord with this Academic Honesty Policy.

1.11 Definitions.

1.11.01 Class Day. Class days, for purposes of this policy, are defined as days the university is open and classes are meeting (excluding Saturdays).

1.11.02 Internal Use. Internal use defines who has access to a student's records. Records for internal use will be released only to University of Houston officials who have an educational need to know the information.

1.11.03 Permanent Record. Permanent record includes documents, forms, copies, reports, statements, tape recordings, etc. that are acquired while a student attends the University of Houston. The information is available to outside sources according to the procedures established by the Family Education Rights and Privacy Act of 1974.

1.11.04 Sanction. Sanction means the penalty assessed for a violation of the Academic Honesty Policy.

1.11.05 Instructor. Instructor refers to a faculty member, lecturer, teaching assistant, or teaching fellow in charge of the section in which an alleged violation of this Academic Honesty Policy has occurred. Such individuals will normally be the instructor of record of the course section in question. In instances where this is not the case, instances of alleged cheating should be reported to the supervisor (e.g., laboratory supervisor) of the instructor as well as the chair.

1.11.06 Chair. Chair refers either to the Chair of the department responsible for the course in which an alleged violation of the academic honesty policy occurs or to his/her designated representative. If the college responsible for the course in question does not have individual departments, Chair as used below shall refer to the individual designated by the Dean of the college to act as hearing officer in academic honesty cases.

1.11.07 Dean. Dean refers to either the Dean of the College containing the department offering the course in which the alleged violation of the academic honesty policy occurs or to his/her designated representative (Hearing Officer).

1.11.08 Student. Student refers to any individual who has ever registered and paid (made a complete payment or has made at least one installment payment) for a course, or courses at the University of Houston. This definition would normally include undergraduates, graduates, post baccalaureates, professional school students and individuals auditing courses.

1.12 Notification. All required written notices shall be addressed to the student at his/her local address as it appears on University of Houston records and deposited in the U.S. mail

A notice properly addressed and so deposited shall be presumed to have been received by the student. It is the responsibility of the student to inform the university of a change of address in a timely manner so that university records can be accurately maintained.

Article 2. Preventive Practices

2.01 Preventive Measures. Instructors will help students comply with the academic honesty policy by minimizing the temptation to act dishonestly. Among other measures, the instructors should:

- Maintain adequate security precautions in the preparation and handling of tests;
- Structure the type and sequence of examination questions so as to discourage dishonesty;
- Provide ample room for proper spacing of students during an examination period, if room is available; and
- Monitor examinations, especially in large classes and in classes where not all students are known to the instructor or the assistant.
- Make clear to their students, in writing, what constitutes academic dishonesty, particularly in those classes where group activities (laboratory exercises, generation of field reports, etc.) are part of the instructional process.
- Require students to show a picture ID and sign major assignments and exams.
- Help raise consciousness of the issue of academic honesty by asking students to sign an honor pledge in the first week of class and to write a short pledge in their own hand on their major assignments.

Article 3. Categories of Academic Dishonesty

3.01 Application of the Academic Honesty Policy. This policy applies only to those acts of dishonesty performed while the student is enrolled in the university.

3.02 Academic Dishonesty Prohibited. "Academic dishonesty" means employing a method or technique or engaging in conduct in an academic endeavor that the student knows or should know is not permitted by the university or a course instructor to fulfill academic requirements. Academic dishonesty includes, but is not limited to, the following:

- Stealing, as theft of tests or grade books, from faculty offices or elsewhere; this includes the removal of items posted for use by the students.
- Using "crib notes," as unauthorized use of notes or the like to aid in answering questions during an examination;
- Securing another to take a test in the student's place; both the student taking the test for another and the student registered in the course are at fault;
- Representing as one's own work the work of another without acknowledging the source (plagiarism). This would include submitting substantially identical laboratory reports or other materials in fulfillment of an assignment by two or more individuals, whether or not these used common data or other information, unless this has been specifically permitted by the instructor;
- Changing answers or grades on a test that has been returned to a student in an attempt to claim instructor error;
- Giving or receiving unauthorized aid during an examination, such as trading examinations, whispering answers, and passing notes, and using electronic devices to transmit or receive information;
- Openly cheating in an examination, as copying from another's paper;
- Using another's laboratory results as one's own, whether with or without the permission of the owner;

Falsifying results in laboratory experiments;

Mutilating or stealing library materials; misshelving materials with the intent to reduce accessibility to other students;

A student's failing to report to the instructor or department chair an incident which the student believes to be a violation of the academic honesty policy;

Misrepresenting academic records or achievements as they pertain to course prerequisites or co-requisites for the purpose of enrolling or remaining in a course for which one is not eligible;

Possessing wireless electronic devices capable of transmitting and/or receiving wireless signals in an exam room unless expressly permitted by the instructor. Students seen with such devices will be charged with academic dishonesty;

Any other conduct which a reasonable person in the same or similar circumstances would recognize as dishonest or improper in an academic setting.

Article 4. Sanctions

4.01 Sanctions. The sanctions for confirmed breaches of this policy shall be commensurate with the nature of the offense and with the record of the student regarding any previous infractions. Sanctions may include, but are not limited to, a lowered grade, failure on the examination or assignment in question, failure in the course, probation, suspension from the university, expulsion from the university, or a combination of these.

Students may not receive a W for courses in which they have been found guilty of a violation of the Academic Honesty Policy. If a W is received prior to a guilty finding, the student will become liable for the Academic Honesty penalty, including F grades.

4.02 Probation, Suspension, and Expulsion. The terms probation, suspension and expulsion as used herein refer to these sanctions only as they are imposed as a result of violations of this Academic Honesty Policy. All policies and procedures for the imposition and appeal of these sanctions are contained within this policy.

Article 5. Departmental Hearing

5.01 Departmental Hearing. When an instructor has reasonable grounds to believe that a student has committed an act of academic dishonesty, the instructor shall notify the Chair of the concerned department, in writing, within five class days of discovery. Students who believe they have observed an act of academic dishonesty shall report the incident to the instructor, as soon as possible, who shall report the incident in writing to the Chair within five class days. Within ten class days of notification, and absent a recommendation from the accusing instructor that could lead to a waiver of the departmental hearing as provided in Article 5.03, the Chair shall establish a time and date for a departmental hearing and shall notify the instructor, the accused student, and the accusing party if other than the instructor. The accused shall be notified of the nature of the alleged offense and the time and place of the hearing normally by certified mail. Should any of the parties fail to appear, without good cause, at the departmental hearing, the Chair may render a decision in their absence.

Both sides shall have an opportunity to present their cases during the above hearing. This may include the introduction of physical evidence as well as testimony from individuals who have knowledge of the circumstances. If either side intends to have individuals appear at the

hearing for such testimony or as legal counsel, the Chair must be notified at least three class days before the hearing. If either side will be advised by legal counsel, the hearing cannot be held with such counsel in attendance unless a representative from University of Houston legal counsel is also present.

The Chair shall render a decision within three class days after the hearing and forward copies of the decision to the student, instructor, and Dean of the college responsible for the course in which the alleged offense occurred. Both the accused student and the instructor have equal right of appeal if the decision of the Chair is not acceptable. If a written appeal is not received by the Dean of the college within ten class days of the decision at the departmental level, the action recommended by the Chair shall be implemented. A departmentally recommended penalty involving suspension or expulsion shall be reviewed in a college hearing unless such hearing is waived as provided in Article 5.05 below.

5.02 Colleges without Departments. For colleges that do not have individual departments, the decision of the initial hearing officer designated by the Dean of the college shall constitute the equivalent of a departmental decision. Only if this decision is reviewed and upheld by the college by virtue of appeal or automatic review would a college decision be rendered. The hearing officer for the college appeal or review shall not be the initial hearing officer.

5.03 Group Violations of the Academic Honesty Policy. In instances where two or more students are alleged to be involved in the same infraction of the academic honesty policy, at the discretion of the Chair, the case against the whole group will be dealt with at a single hearing. The facts common to all cases will be presented with all students allegedly involved in attendance. Each student shall be allowed to present his/her defense to the Chair separately. If requested by the presenting student, such a defense shall be presented outside the hearing of the other students.

5.04 Waiver of Departmental Hearing. When notifying the chair of the alleged infraction, the faculty member shall have the option of suggesting, to the Chair, a sanction for the alleged violation of the Academic Honesty Policy that would, if acceptable to the student, instructor, and chair, preclude a departmental hearing. Such sanctions would normally include reduced or zero credit for a test assignment, a grade of "F" in a course, or other such agreed upon sanctions. Sanctions involving disciplinary probation or sanctions requiring a college level hearing cannot be used. In cases for which the instructor suggests a sanction so as to preclude the departmental hearing, the accused shall be notified, in writing, by the chair of the choice of: **(1)** acknowledging the alleged academic honesty violation, waiving the formal departmental hearing, and accepting the associated sanction; or **(2)** proceeding to a formal departmental hearing. Upon electing the waiver of a departmental hearing, the student's name will be placed on a list that is maintained, by the Department, the Dean's office and the Provost's office, until graduation. Following graduation the student can request that his/her name be removed from these lists. An agreement to settle an academic honesty infraction via a waiver of the formal departmental hearing will not result in any record being kept that is reflected on the student's transcript or his/her permanent record. The waiver of a departmental hearing process must be agreed to by the instructor, the student and the department chair. In the event that all three cannot agree to a waiver, the case must be moved to a formal departmental hearing. A student is allowed only one waiver of a departmental hearing during his/her entire academic career at the University of Houston. A formal departmental hearing will be scheduled should a student fail to respond to written notifications concerning the alleged infraction of the academic honesty policy.

5.05 Waiver of Automatic College Hearing. If a student wishes to accept a departmentally recommended sanction of suspension or expulsion, he or she may submit a written waiver form to the dean of the college no later than ten class days after being notified of the departmental decision. The waiver form is issued from the Dean of Students Office only after the student has met with the Dean of Students (or his/her designated representative), who will ensure that the student is aware of his/her rights in the appeal process. The Dean shall then implement the departmental decision and notify the appropriate parties of the disposition of the case within five class days of receipt of the waiver request. The sanction is considered a college level decision.

5.06 Conflict of Interest. When faculty responsible for the implementation of the Academic Honesty Policy (Deans, chairs, or designated representatives) are themselves party to a case, they shall in no way participate in the administration of the policy. Such responsibilities shall pass to faculty and administrators not directly involved in the case.

Article 6. College Hearing

6.01 College Hearing. If either the student or the instructor wishes to appeal the decision of the departmental chair, he or she must file a written request for a hearing with the Dean of the college within ten class days of the department chair's decision. Within ten class days of receipt of such a request the Dean will set a time, date and place for the hearing.

6.02 Duties of the Dean. It shall be the duty of the Dean to:

- a. Select a college academic honesty panel;
- b. Set and give notice of the time and place of the college hearing;

6.03 College Hearing Officer. The college hearing officer shall be appointed by the dean. Normally the hearing officer will be appointed for a full academic year. Correspondence with the hearing officer should be addressed to the office of the dean of the college.

6.04 Duties of the College Hearing Officer. It shall be the duty of the college hearing officer to:

- a. Conduct the hearing in an orderly manner so that both sides are given an opportunity to state their case;
- b. Rule on procedural matters;
- c. Leave the hearing room during the panel's deliberations but remain available to answer questions on procedural matters; and
- d. Prepare and submit one copy of the decision to the dean and one copy to the Provost. The college hearing officer shall not take part in the vote nor otherwise participate in the deliberations of the panel.

6.05 Academic Honesty Panel. The college academic honesty panel shall consist of two faculty members and three students. The panel will be selected by the college hearing officer from faculty and currently enrolled students of the college. The chair of the panel shall be a student appointed by the hearing officer.

6.06 The Dean of Students. The dean of students, or his or her designee, shall be required to attend all college hearings to serve as a university resource person. This individual shall not have a vote at a college hearing nor be present during the deliberations of the panel. This individual shall not have a voice at a college hearing unless so requested by the panel or hearing officer.

6.07 Hearing Procedure.

- a. The date of the hearing must be adhered to. Any delay must be approved by the hearing officer. Only documented, extenuating circumstances will be considered.
- b. All parties shall notify the hearing officer in writing of the name, address, and telephone number of their witness(es) and counsel, if any, at least three class days prior to the date of the hearing.
- c. The hearing shall be mechanically recorded. The parties involved may obtain a copy of the recording from the hearing officer at the expense of the requesting party.
- d. All parties shall be afforded the opportunity for reasonable oral arguments and for presentation of witnesses and pertinent documentary evidence.
- e. All parties shall have the right to advice of counsel of choice. This individual may attend the hearing but shall not directly participate in the hearing or enter into argument with the parties present. The case presented to the panel must be made by the accusing individual and the accused student. The Chair to whom the accusation of a violation of the academic honesty policy was presented normally will attend the hearing and may serve as a witness. The instructor or other individuals who reported the alleged misconduct shall present the relevant evidence, including testimony by witnesses. The accused student shall then present his/her case, including testimony by witnesses. Neither party shall ask questions of or solicit testimony directly from the other party or its witnesses. Where it appears that there are matters of disputed fact, the hearing officer shall request the panel to ask appropriate questions of either or both parties and/or their respective witnesses so as to clarify the points in dispute.
- f. The panel shall have the right to question any and all witnesses and to examine documentary evidence presented.
- g. At the conclusion of the hearing, the panel shall meet in a closed session. A finding of guilt is accomplished by a vote of four out of five of the panel, and punishment has to be agreed to by three or more. Upon reaching a decision, the panel shall inform separately through the hearing officer all parties of its judgment, including the Dean of the college and the Provost.
- h. The dean shall notify the appropriate parties of the disposition of the case within five class days of receipt of the panel's judgment.

6.08 Group Violations of the Academic Honesty Policy. In instances where two or more students are alleged to be involved in the same infraction of the academic honesty policy, the case against the whole group will be heard by a single academic honesty panel. The facts common to all cases will be presented with all students allegedly involved in attendance. Each student shall be allowed to present his/her defense to the panel separately. If requested by the presenting student, such a defense shall be presented outside the hearing of the other students.

Article 7. Senior Vice President for Academic Affairs and Provost Appeal

7.01 Appeal of the Panel's Decision. Within five class days of the panel's decision, either party may file an appeal for review with the Provost or that officer designated by the Provost. The appeal shall be in writing and shall specifically address the issues to be reviewed.

7.02 Senior Vice President for Academic Affairs and Provost Procedural Review. The Provost shall review the appeal within ten class days of the receipt of the appeal. If either party has requested an appearance or is requested to appear by the Provost, then both parties must be informed. Since the case was heard by a peer group (Article 6.05), the intent of the Provost's review is not to modify the penalty or to substitute the judgment of the Provost for that of the peer panel which heard the case, or hear new or additional facts on the case. The intent of this review is to ensure that the college hearing and judgment were not arbitrary, were not capricious or discriminatory, did not violate the due process of the accused, and did not violate the concepts of fair play to both parties. The Provost shall notify all parties of the decision within three class days of the completion of the review.

7.03 Actions Which the Senior Vice President for Academic Affairs and Provost May Take.

- a. The Provost may conclude that one or more of the basic concepts involved in a fair hearing at the college level were violated and return the case to the college for another hearing with a different panel in accordance with Article 6 and resubmission for Provost procedural review;
- b. If, in a rare case, the Provost feels that another hearing in the same college would not result in a fair hearing, the Provost may send the case to another college with the disciplinary expertise to hold a fair hearing, for a new hearing there in accordance with Article 6 and resubmission for Provost procedural review; or
- c. If, in a rare case, the Provost independently feels that the penalty assessed in the college hearing is not commensurate with the offense, then s/he may send the case back to the college as described above; or
- d. The Provost may approve the actions and conclusions of the college academic honesty panel and see that the judgment is enforced. The Provost procedural review is the final institutional step in matters of academic integrity.

Article 8. Records

8.01 Not Guilty. If a student is found to be not guilty after the review process is completed, records concerning the matter shall not become a part of the student's permanent record.

8.02 Departmental Sanctions. If a student is found guilty in a departmental hearing and if the matter is not heard before the college academic honesty panel (i.e., is neither appealed nor automatically reviewed because of the penalty), the record of the proceedings and penalty will be maintained by the university for internal use only and will not become a part of the student's permanent record.

8.03 College Sanctions. If a student is found guilty by a college academic honesty panel or waives an automatic appeal, the disciplinary sanction becomes an irrevocable part of the student's permanent record. This record is not the same as the student's transcript (See Article 8.05 below).

8.04 Records. The Provost shall maintain a record of those students found guilty at any level, including those students who have elected a waiver of the departmental hearing (See Article 5.04).

8.05 Notations on a Student's Transcript. Action resulting in a student's suspension or probation for academic honesty policy violations will be entered on the student's transcript until the period of sanction has elapsed. When the sanction has elapsed, the student may petition the

college placing the notation to remove the notation from the transcript. The request to remove the notation from the transcript is the student's responsibility.

For additional information: Office of the Provost, 713-743-9101 or visit the website at <http://www.uh.edu/provost/>.

University of Houston Degree Revocation Policy

Academic integrity rests with all members of the university community, and academic decisions are based upon trust between faculty and students. The university's award of academic credit and degrees is its certification of student achievement. If students acquire their academic credentials by deceit, fraud, or misrepresentation, they deceive not only the university but also those who may eventually rely upon the knowledge and integrity of its graduates. Such misconduct may not be discovered until the student has left the university or received a degree. In such instances, the university reserves the right to revoke degrees, decertify credit, and rescind any University of Houston certification that warrants that the student successfully completed course work or requirements for a degree. Decisions to take such actions will be made only after careful consideration of all the available evidence.

For additional information: Office of the Provost, 713-743-9101 or visit the website at <http://www.uh.edu/provost/>.

University Hearing Board

The University of Houston has delegated a wide range of disciplinary powers to the University Hearing Board and to the Student Traffic Court. Students, faculty, and staff representatives participate in making decisions in these bodies. The University Hearing Board and the Dean of Students Office handle the majority of student disciplinary matters. The Student Traffic Court adjudicates complaints of student violations of university traffic regulations; appeals of their decisions are heard by the Dean of Students Office. Faculty cooperation with both courts is essential for their successful operation. More information concerning these bodies is contained in the *Student Handbook*.

For additional information: Dean of Students Office, 713-743-5470 or visit the website at <http://www.uh.edu/dos/>.

Student Services

The university offers a number of services to assist students. Faculty should be especially aware of those enumerated below. For services designed primarily for faculty, see "Human Services," pages 176-178 and "Health Services" pages 180-181. Services for staff are set forth in the *Staff Handbook*.

Counseling and Psychological Services

Counseling and Psychological Services (CAPS) is a unit within the Division of Student Affairs. The mission of CAPS is to assist members of the university community in functioning effectively in their academic and personal lives. It accomplishes this by identifying and addressing the needs of students; educating the university community about institutional and environmental climates conducive to student success; and empowering faculty, staff, and students to develop skills for such success.

For additional information, see page 177 or Counseling and Psychological Services, 713-743-5454, or visit the website at <http://www.caps.uh.edu/>.

Student Learning Assistance

Learning and Assessment Services

Learning and Assessment Services (LAS) exists to support the learning assessment and measurement needs of the University, including Research/Assessment and Measurement: (1) formative or summative assessment support; (2) outcome assessment; (3) data collection; (4) data analysis; (5) report writing; (6) program evaluation; (7) customer satisfaction surveys; (8) needs assessments; (9) focus groups; (10) student learning outcomes; (11) course evaluations; (12) item development and analysis; (13) LAS library of data source for research projects on testing, dual credit, advanced placement, international baccalaureate and psychometric assessments; and Learning/Teaching Support: (1) training to support teaching for learning styles, learning strategies, and assessment/measurement of learning; (2) electronic course delivery with technology resources and tools; (3) course evaluations; (4) provide make-up exams; (5) provide tutoring; (6) provide class sessions on learning styles and strategies (e.g. when professors must be absent); (7) class support for career assessments and personality batteries

Learning Support Services (Unit of Learning and Assessment Services)

The mission of Learning Support Services (LSS) at the University of Houston is to increase graduation and retention rates by helping students learn how to learn. LSS offers learning support programs and self-development activities to increase student performance in learning and improve student retention. Individualized learning plans as well as group intervention programs are available. The primary services offered by LSS, free to currently enrolled students, include tutoring (provided by College Reading and Learning Association certified tutors), Learning Strategies Counseling (including assessment), Learning Strategies workshops (for both undergraduate and graduate students), and multi-media support. LSS is open to all students. It serves those students who are in good standing and trying to maintain a high GPA, those students who encounter difficulties, and those who may be at risk for non-retention or graduation. LSS believes the services it provides maximize student learning and help students achieve graduation goals within a reasonable time frame.

Faculty may refer student for tutoring for selected courses. For a list of courses for which tutoring is provided, please visit the LSS website.

LSS services are provided in room 328, Graduate College of Social Work, Cougar Village and Moody Towers.

For additional information: Learning Support Service, 713-743-5411 or visit the website at <http://www.las.uh.edu/lss/>.

Challenger Program (Unit of Learning and Assessment Services)

The Challenger Program is a retention program that provides academic and personal support to first generation, low income, and/or physically disabled undergraduate university students. Participating students receive the following services: peer tutoring, workshops, a three-semester credit reading/writing and study skills course, study groups, academic and personal counseling, vocational testing and advising, financial aid assistance, cultural enrichment activities, newsletters, orientation, interest groups, support groups, referrals to on/off campus support programs, and early warning system and needs assessment guidance. The Challenger Program has been funded by the U.S. Department of Education as a TRIO Program for more than 25 years.

For additional information: Challenger Program, 713-743-5420, or visit the website at <http://www.las.uh.edu/CP/>.

University Testing Services (Unit of Learning and Assessment Services)

The University Testing Services (UTS) provides comprehensive testing and assessment services. These services include administration of admission, placement, credit by exam, psychological batteries, correspondence examinations from other universities, and professional certification and licensing examinations. UTS delivers computer based testing for exams such as the GRE, Accuplacer, CLEP, TExES and TOEFL. Faculty may also wish to use UTS test development and validation service and/or to utilize UTS to administer make-up exams for their students.

Consultation is also available to faculty for considering the awarding of course credit based upon AP (Advanced Placement Exams), IB (International Baccalaureate), SAT II (Scholastic Aptitude Test) Subject Tests, CLEP (College Level Examination Program), DANTES (Defense Activity for Non-traditional Education Support) and UH Departmental Exams

For additional information: University Testing Services, 713-743-5444, or visit the website at <http://www.las.uh.edu/uts/>.

Measurement and Evaluation Center

The Measurement and Evaluation Center (MEC) promotes excellence through evaluative services. Services include administration of university faculty/course evaluations, design of research and survey methodologies, instrumentation, data analysis, program evaluation, exam scoring and consultation for outcome assessment. The center also forges public-private partnerships with Houston businesses and non-profit organizations.

For additional information: Measurement and Evaluation Center, 713-743-5440, or visit the website at <http://www.las.uh.edu/MEC>.

Center for Students with DisABILITIES

The Center for Students with DisABILITIES (CSD) is the Division of Student Affairs unit that helps to ensure that qualified students who have disabilities have equal opportunities to educational programs as do non-disable students at the University of Houston.

CSD provides academic accommodations, recommendations and support services to students who have temporary or permanent learning disabilities, health impairments, physical limitations or psychiatric disorders.

CSD offers individualized testing, a computer resource room with adaptive equipment and software, a library of taped textbooks, wheelchair repair and loan services, free carbonized note paper, library assistance, resource referral, registration assistance, coordination of note-takers, sign-language interpreters, personal care attendants, etc.

Faculty members are required to announce to their classes that students with any type of documented disability are legally entitled to "reasonable and necessary accommodations" in their coursework. Students should be referred to CSD early in the semester to ensure that they receive equal educational opportunities. See Responsibilities to Students, *pages 131-132*

For additional information: Center for Students with DisABILITIES, 713-743-5400, TDD, 713-749-1527, or visit the website at <http://uh.edu/csd/>.

Other Student Services

International Student and Scholar Services Office (ISSSO)

The ISSSO is the main resource center for all international students and J-1 scholars needing special services related to their status as non-citizens of the United States. The ISSSO assists F-1 and J-1 visa students and scholars in maintaining legal status with the U.S. Department of Homeland Security and U.S. State Department, in processing for Immigration's approval of transfer from other U.S. universities. F-1 students may not take more than the equivalent of one class (three credit hours) per semester online or through asynchronous distance education (tape purchase or broadcast).

ISSSO assists international students in documenting enrollment status for their respective foreign governments, in extending Immigration's authorized time periods inside the United States, in reentering the country after short trips abroad, in securing work permission and practical training authorization, and in facilitating the transfer of U.S. currency from foreign banks.

All non-immigrant visa students may apply to the ISSSO for financial assistance through the Texas Public Education Grant (TPEG) awards and scholarship programs.

All new international students and scholars are required to report to the ISSSO prior to the start of their academic programs to have their passports and immigration documents checked for legal status, to receive special services related to their visa status, and to attend the orientation program for international students and scholars.

The ISSSO also offers other special services including counseling and advising on problems uniquely related to international students and scholars and provides opportunities for international students and scholars to enhance their social and cultural education by establishing close relationships with U.S. families.

Student Employment

Positions open to and preferred for students with financial need are posted in the Office of Scholarships and Financial Aid; other positions open to students, including many available off campus, are posted in the University Career Services. In addition, some colleges may post information about internships and job opportunities.

For additional information: Office of Scholarships and Financial Aid, 713-743-9090, or visit the website at <http://www.uh.edu/enroll/sfa/>; University Career Services, 713-743-5100, or visit the website at <http://www.career.uh.edu/>.

Student Government Association

The Student Government Association (SGA) is the university's student government and official representative organization. The SGA works to improve the quality of education and university life and participates in policy-making decisions by representing the interests of students to the administration, the Board of Regents, and the faculty and on various university committees, councils, and boards. The association also participates in student disciplinary cases, and works to preserve student rights.

For additional information: Student Government Association, 713-743-5220, or visit the website at <http://sga.uh.edu/>.

University Center (UC)

The University Center offers a wide variety of useful products, services and opportunities to meet and connect with other people. The University Center is located just inside Entrance 1 and provides dining facilities, comfortable lounges for studying, visiting and watching television; and meeting rooms for conducting organization meetings, social events and educational programs.

The University Center Administrative Services and Operations Office is located on the second floor and is responsible for the overall operation of the University Center, University Center Satellite, Center for Student Involvement, Center for Leadership and Fraternity and Sorority Life, A. D. Bruce Religion Center, the Children's Learning Centers, and the Cat's Back Weeks of Welcome program. In addition, the University Center has many helpful retail services such as Cougar Byte Sales and Services Center, Jonorr's Salon, Woodforest National Bank, the UC Games Room, and Shasta's Cones and More.

The University Center is also home to the Dean of Students Office, Student Information and Assistance Center, Women's Resource Center, Lesbian, Gay, Bisexual and Transgendered Resource Center, and Veterans' Services Office.

For more information, contact the University Center Administration Office, 832-842-6154, or visit the website at <http://www.uh.edu/uc/>.

Environmental Health and Safety

(<http://www.uh.edu/ehs/>)

It is the goal of the University of Houston to maintain a safe and healthy environment for all students, employees, and visitors in accordance with all standards affecting university health and safety established by federal and state legislation.

To accomplish the stated goal and maintain compliance, the Environmental Health and Safety (EHS) Department has been created. EHS is responsible for helping the university community eliminate or reduce hazards, provide safety training, establish specialized environmental health and safety procedures, and advise the faculty and administration of the University of Houston in matters of environmental health, safety, or environment.

There are other university policies that address health and safety issues, such as the Fire Safety Code (MAPP 06.01.01. website at

<http://www.uh.edu/af/universityservices/policies/mapp/06/060101.pdf>).

Environmental Health Policy

(MAPP 07.02.01 at <http://www.uh.edu/af/universityservices/policies/mapp/07/070201.pdf>)

The purpose of this statement is to assign responsibility for the development and maintenance of an environment for students, employees, and visitors that is free of recognized hazards.

- A. **Maintenance of healthy environment.** The maintenance of a safe and healthy environment and the development of positive attitudes regarding safety among all members of the university community are the duty and responsibility of all university employees.

Deans, department chairs, faculty, and staff supervisors are to be continuously cognizant of the safety needs of their students and personnel. They shall initiate necessary preventive measures to control hazards associated with activities under their direction. It is essential that all supervisory personnel recognize that they are responsible for the safety of all personnel under their jurisdiction. Safety shall be incorporated as an integral part of all programs where there is a hazard of accidental injury.

- B. **Environmental Health and Safety Standards.** The university shall comply with the appropriate federal and state legislation, including the Texas Occupational Safety Act of 1967, the United States Substance Control Act of 1970, the National Fire Codes, the Texas Workers' Compensation Act, the Resource Conservation and Recovery Act of 1976 as amended in 1984, the Texas Hazard Communication Act of 1985 as amended in 1986, and any and all federal or state acts or laws that may relate to the university's operation. These acts, along with supporting guides and procedures issued from time to time by Environmental Health and Safety (EHS) or the appropriate safety committee, will provide the necessary standards under which the university will conduct its safety program.
- C. **Administration of the safety program.** The responsibility for the administration of the University of Houston safety program is assigned to the Department of Public Safety (UHDPS).
- D. **Inspections.** UHDPS shall assist supervisory personnel in carrying out their responsibility of maintaining safe working conditions and facilities for all faculty, staff, and students under their jurisdiction. To this end EHS shall conduct periodic inspections of all university facilities and report to the responsible administrator any conditions that need to be remedied. UHDPS has

the authority to order the immediate cessation of activities where significant danger is perceived. The office should be consulted prior to the commencement of any project requiring renovation or new construction or any project requiring the use of potentially hazardous equipment or materials.

- E. **Correction of unsafe conditions.** In recognition of the fact that there will be situations in which hazards must be immediately remedied, the Director of EHS has authority to remedy or cause to be remedied hazards that the responsible supervisor does not remedy in a timely manner. The cost to remedy all hazards caused by the actions of the supervisor shall be charged to the budget of the academic or administrative unit in which the hazards occur.

Safety Advisory Committees

The Institutional Biosafety Committee reports to the Executive Vice President for Administration and Finance while the other advisory committees are administered by the Division of Research.

Faculty members with questions related to any of the following advisory committees should contact the committees through the office of the appropriate Vice President.

Institutional Biosafety Committee

The University of Houston Institutional Biosafety Committee is responsible for ensuring compliance with National Institutes of Health (NIH) Guidelines on Research Involving Recombinant DNA, and NIH Guidelines for biohazardous agents usage. Such compliance is required regardless of the source of funds used to support the research.

It is the policy of the University of Houston to comply with and adhere to the most recent version of Biosafety and Institutional Biomedical Laboratories, as published by the Centers for Disease Control and the National Institutes of Health and codified in the most current, applicable issue of the Federal Register.

For a principal investigator to initiate research involving recombinant DNA and/or biohazardous agents, the Biosafety Committee must approve a written MUA, or Memorandum of Understanding Agreement, prior to either the submission of proposals or the start of such research.

For more information contact: Environmental Health and Safety, 713-743-5858, or visit the website at <http://www.uh.edu/ehs/>.

Committee for the Protection of Human Subjects

This committee is charged with the responsibility for reviewing and approving all research involving the use of human beings as subjects of research activities. Committee review is required whether funding is from sponsored or non-sponsored sources, in accordance with the Department of Health and Human Services guidelines. The committee serves to ensure that the rights and safety of human subjects involved in research are protected and that the subject participates in the project only after giving informed consent.

For more information, visit the website: <http://www.research.uh.edu/Home/Division-of-Research/Research-Services/CPHS.aspx>.

Institutional Animal Care and Use Committee

All procedures involving live animals, whether classroom- or research laboratory-oriented, are governed by the Animal Welfare Act of 1986, as amended, and the federal guidelines on proper

procedures for animal care. Precautions are taken to protect the user, as well as the particular animal species involved, and are the direct responsibility of the supervisor of animal care for the university as well as the supervisor of the particular course and/or laboratory involved. Only properly trained personnel are allowed to handle and dispose of animals; radioactive animals receive special handling according to federal, state, and university guidelines. Questions pertaining to personnel training or animal acquisition, care, and disposal are to be referred to the Director of the University of Houston Animal Care Facility.

For more information, call 713-743-9199 or visit the website at <http://www.research.uh.edu/Home/Division-of-Research/Research-Services/IACUC/Q-A--ACO-and-IACUC.aspx>.

Radiation Safety Committee

The University of Houston's Radiation Safety Committee is charged with ensuring that the University of Houston's Radiation Safety Program remains in compliance with the State Radiation Regulations in Title 25 of the Texas Administrative Code, Chapter 289 as well as other applicable State and Federal Regulations. The Radiation Safety Committees advises the UH administration including the President, Senior Vice President for Academic Affairs and Provost, Executive Vice President for Administration and Finance, and Vice President for Research and Technology Transfer about radiation hazards at the University of Houston. The Radiation Safety Committee functionally operates under the authority of the Vice President for Research and Technology Transfer to formulate policies and procedures relating to radiation receipt, possession, use, transfer and disposal and has the responsibility of assuring radiation safety at the University of Houston.

For additional information: Environmental Health and Safety (EHS), 713-743-5858, or visit the website at <http://www.uh.edu/ehs/> or <http://www.uh.edu/police/>.

Safety Compliance Assistance

Faculty members whose research involves chemicals, biohazards, radioactive materials, animal care, or human subjects are legally and ethically responsible to know and comply with all applicable regulations. The above-listed committees are more fully discussed in the Proposal Preparation and Award Administration Guide, published by the Office of Contracts and Grants.

Failure to comply with the numerous and varied regulations may jeopardize funding to the University of Houston.

For additional information: Office of Contracts and Grants, 713-743-9222, visit the website at <http://www.research.uh.edu/OCG/>.

Alcoholic Beverages on Campus

The possession, consumption, and/or distribution of any alcoholic or intoxicating beverage is prohibited in any public area of the University of Houston campus except at:

- A. events previously authorized to serve alcoholic beverages by the Dean of Students, the Chancellor/President, Vice Presidents, or deans; and
- B. the University of Houston Hilton Hotel, cafeterias, and on-campus restaurants or food service areas where alcohol is legally distributed or sold.

A public area is defined as the campus parking lots, campus grounds, or any outside enclosed area or portion thereof, to which the public is invited or given general unrestricted access.

According to the General Appropriations Act (§ 2113.012), a state agency may not use appropriated money to compensate an officer or employee who uses alcoholic beverages on active duty.

Drug and Alcohol Abuse Prevention

It is the policy of the university that the manufacture, sale, distribution, dispensation, possession, or use of illicit drugs is prohibited in the workplace, on the campus, or as part of any university activity. Information regarding health risks of substance abuse, sanctions imposed for violation of this policy, and its application and implementation by the University of Houston is available from the Department of Human Resources, the Office of Contracts and Grants, the Police Department, the Office of Financial Aid, and the Division of Student Affairs.

For the full University of Houston Drug and Alcohol Policies, please see Appendix J, pages 250-255.

Houston Council on Alcoholism and Drug Abuse

This off-campus organization offers free short-term counseling for anyone affected in any way by alcohol or other drug abuse. Trained alcohol and drug abuse counselors can help select a twelve-step program (AA, Alanon, NA, CA, etc.) and/or appropriate treatment. The address is 3333 Eastside; telephone, 713-942-4100 or visit (<http://www.council-houston.org/Public/index.asp>).

Further information regarding these programs and services may be secured from the University of Houston Counseling and Psychological Service, located in room 226 of the Student Service Center; telephone, 713- 743-5454.

Employee and Student Assistance Programs

All members of the university community are eligible to consult with the Counseling and Psychological Service regarding the availability of drug abuse assistance programs. Drug and alcohol abuse counseling and rehabilitation program referrals are routinely made to mutual help organizations, private hospitals, public treatment programs, and private drug treatment practitioners. Counseling and Psychological Services maintains a collection of resource materials pertinent to issues of drug abuse. Referrals for additional drug awareness information are made to other agencies and services. In addition, UH Wellness provides comprehensive education and prevention services including interactive programming through Alcohol 101+, the Choices Program, and small group social norming.

For referrals or additional information contact Counseling and Psychological Service, 713-743-5454, or visit the website at <http://www.caps.uh.edu/>.

UH Wellness

The mission of UH Wellness, a campus-wide education and prevention program, is to promote healthy choices and create a healthier, safer learning environment across all dimensions of wellness including social, spiritual, intellectual, occupational, physical, and emotional wellness. This is done through educational workshops focused on maintaining healthy behaviors, promoting campus wide events, peer education, consultation, Special Programming, and community outreach.

For additional information: UH Wellness Center 713-743-5430 or 713-743-5455 or visit the website at <http://www.uh.edu/wellness/>.

AIDS

Purpose

As mandated by UHS Board of Regents policy 29.01, the University of Houston has adopted a policy consistent with the Human Immunodeficiency Virus Services Act, Texas Health and Safety Code, Section 85.001. The purpose of the policy is to address the issue of Acquired Immune Deficiency Syndrome (AIDS) and to establish guidelines for responding to AIDS within the university community. The university acknowledges its responsibility to promote a safe, healthy, and supportive university community. AIDS has become a global health issue; the university addresses related university issues in this policy statement.

Policy

- A. A University Committee on AIDS has been established. The committee represents the university community and addresses relevant medical, psychological, legal/ethical, and administrative issues.
- B. The university endorses the position of the American College Health Association that the primary responses of colleges and universities to AIDS should be educational. These educational programs are coordinated with established mental/personal/community health programs sponsored by the University Health Center, Counseling and Testing Service, residence halls, Human Resources, Center for Students with DisABILITIES, and other organizations.
- C. Any student, faculty member, staff, or administrator with a transmittable disease, including those testing HIV-positive, has an obligation to protect the welfare of others and to attempt to prevent the spread of the infection.
- D. The university's commitment to non-discrimination applies to students, faculty, staff, and administrators identified as HIV-positive or as having an AIDS diagnosis.
- E. As specific AIDS-related medical problems arise, they will be addressed on a case-by-case basis following the current guidelines of the American College Health Association and Centers for Disease Control and the laws of the State of Texas. The University is committed to fulfilling the letter and spirit of the law as stated in the Human Immunodeficiency Virus Services Act, Senate Bill 959.
- F. Information concerning AIDS-related issues relative to any member of the university community will be handled in a sensitive manner to protect confidentiality and to prevent the misuse of such information.
- G. Any person who, in the conduct of university-related business, handles blood, body fluids, and/or body tissues will follow the guidelines set forth in "The Policy and Procedure for Safely Handling Blood, Body Fluids, and Body Tissues," available from the Division of Research.

Guidelines

- A. AIDS educational literature is available at various locations including the University Health Center, Counseling and Testing Service, and Human Resources. These materials are distributed at student orientation. All references mentioned in this document will be made available in the UH Wellness Center.

- B. A copy of the American College Health Association report, AIDS on the College Campus, will be made available in the reference section of the M. D. Anderson Memorial Library.
- C. The university will not require HIV testing of either employees or students. Voluntary testing for HIV is performed following the guidelines of the American College Health Association.
- D. If an employee or student has HIV-related concerns, that individual may consult the University Health Center, Counseling and Testing Service, or any other knowledgeable counselor, physician, or administrator for appropriate referral or intervention. Educational programs and counseling programs will be provided on campus and/or appropriate referrals will be made to community agencies as necessary.

Smoking

The University of Houston is a smoke-free environment, except in designated places. For details see MAPP 07.02.02 online at

<http://www.uh.edu/af/universityservices/policies/mapp/07/070202.pdf>.

Other University of Houston Policies

Contract Administration Policy

In accordance with Board, System and University contracting policies, only the Chancellor/President and his or her expressly designated agents may enter into contracts or modifications, amendments, and renewal of existing contracts or agreements that commit or obligate the resources of the University of Houston System or its components. The policy has specific requirements for reporting activity pertaining to certain contracts to the Board of Regents.

The Chancellor/President has delegated the negotiation and review of all contracts and agreements between the University of Houston and outside entities to his or her approved designee, with review and necessary approvals by the Office of the General Counsel and the Office of Contract Administration/Contract Compliance. Further, the Purchasing Department and the Office of Contracts and Grants have been delegated authority to negotiate, execute, and administer procurement documents approved by the Office of the General Counsel related to their activities.

For additional information: see the Executive Director for Contract Administration/Contract Compliance and/or BOR Policy 57.01 (website at <http://www.uhsa.uh.edu/board-of-regents/policies/index.php>), SAM 03.A.05(website at <http://www.uh.edu/af/universityservices/policies/sam/3FiscalAffairs/3A5.pdf>) and MAPP 04.04.01A (website: <http://www.uh.edu/af/universityservices/policies/mapp/04/040401A.pdf>) on contracting.

Financial Responsibility

Faculty are included in the university policy on employee financial responsibility (See University of Houston Manual of Administrative Policies and Procedures 05.03.01). Under this policy university employees are required to satisfy their financial obligations to the university in a timely fashion. Employee financial obligations include payment for parking citations or towing; purchases of goods or services from university auxiliary operations; payment for tuition, fees, or housing; library fines; Health Center or Counseling and Psychological Services charges; any personal checks submitted for payment; or any other financial obligation to the university incurred by the employee.

For the complete policy see the departmental or college administrator or visit MAPP 05.03.01 website at <http://www.uh.edu/af/universityservices/policies/mapp/05/050301.pdf>.

University Financial Policies

University policies related to finance and financial accountability may be found in the Manual of Administrative Policies and Procedures (MAPP), the UH System Administrative Memoranda (SAM), and the Board of Regents Policies. The following are summaries of policies governing the use of university funds to carry out the multifaceted roles of faculty and other university personnel. Generally the principle of accountability for state funds guides all financial policies for employees of the State of Texas.

For additional information visit the MAPP website at <http://www.uh.edu/af/universityservices/policies/mapp/index.htm>

Official Functions and Discretionary Expenditures

The following activities are considered within the normal educational role of faculty and may be paid with university funds: travel and meal expenses at conferences; expenses for student

recruitment; expenses (including food) incurred directly in teaching and research activities. Normally the academic unit is responsible for funding these activities; faculty members must seek prior approval for such expenditures. Expenditures on externally funded projects must follow the guidelines established by the funding agency and the Office of Contracts and Grants.

In addition, the University of Houston recognizes the need for funding activities not directly related to the educational process that can be demonstrated to be of clear benefit to the university. In most cases, designated (fund 2) or unrestricted auxiliary (fund 3) funds may be used for official functions or discretionary expenditures. However, designated tuition funds may not be used for any entertainment expenses, except for events that primarily involve students (e.g., commencement, student recruitment, student job fairs, etc.) and for prospective employee business meals. However, any alcoholic beverages purchased for these events, where allowed, may not be charged to designated tuition, and must be charged to another, allowable fund. Payment may be made from gift or sponsored project funds only when allowed by the donor or terms of the contract. State law prohibits expending state (fund 1) funds for entertainment expenses, alcoholic beverages, gifts, or service awards costing over \$100.

The University of Houston allows the following official functions and discretionary expenditures subject to the provisions of SAM 03.A.02 and MAPP 05.02.02:

- A. Expenses for recruiting new faculty or entertaining official guests of the university;
- B. Conferences or workshops for university personnel;
- C. Receptions for university personnel;
- D. Tickets to arts or athletic events for fund raising or recruiting faculty;
- E. Awards;
- F. Memberships that benefit the university; and
- G. Itemized alcoholic beverages.

Those expenditures prohibited include:

- A. Flowers for university personnel or their families;
- B. Gifts to university personnel.

For the complete policy and procedure, see the unit administrator or visit the SAM 03.A.02 at <http://www.uh.edu/af/universityservices/policies/sam/3FiscalAffairs/3A2.pdf> or MAPP 05.02.02 website at <http://www.uh.edu/af/universityservices/policies/mapp/05/050202.pdf>.

Debarment and Suspension

In accordance with Executive Order 12549, issued February 18, 1986, the University of Houston, along with other recipients of federal funds, participates in a government-wide system for certification of eligibility. The university certifies that it and its principals (defined as officers, owners, principal investigators, key employees, and others with primary management or supervisory responsibilities)

- A. Are not presently debarred or suspended, proposed for debarment, or excluded in any fashion from receiving federal funds;

- B. Have not within a three-year period been convicted of or had a civil judgment rendered against them for commission of a variety of criminal acts;
- C. Are not presently under indictment or otherwise charged criminally or civilly with commission of a series of offenses itemized in the executive order.

To implement the requirements of this executive order each person defined as a principal must notify the Office of Contracts and Grants if s/he meets the definitions enumerated above.

The full policy and executive order are available from the Office of Contracts and Grants, 713-743-9222, or visit the website at <http://www.research.uh.edu/Home/Division-of-Research/Contracts-and-Grants.aspx> .

University Employee Governmental Appearances

(UHS Board of Regents policy 81.01)

All university employees appearing before Congress; the Texas Legislature, City, County, or other governmental body, or their agencies, committees, or members to offer testimony, opinions, or commentary in regard to existing or potential laws, rules, or regulations, not expressly authorized to do so by the Board or the Chancellor/President, must clearly state in advance that they are appearing in their individual capacities and that their testimony, opinions, and commentary are not authorized by, and must not be construed as reflecting on the position of the System.

Approval of Advertising and Public Relations Services

All university advertising(except personnel recruiting) and public relations services that are to be paid for by local or state University of Houston funds must be approved by the Office of University Relations before being processed by the Purchasing Department. Advertising to fill a vacant faculty position must be routed through the Office of *Equal Opportunity Services*. All staff advertising must be routed through the Human Resources Department.

Printing Policy

All printing services must be obtained from either an in-house facility, from a state contractor, or through the competitive bidding process. Printing services include printing and other related items, such as typesetting and color separation.

For details of the policy, see the unit administrator or the Office of University Relations, 713-743-0945 or visit the website at <http://www.uh.edu/about/offices/university-relations/index.php> and University Marketing, 713-743-8863, or visit the website at <http://www.uh.edu/about/offices/university-advancement/marketing/>.

University Names and Indicia

The names, logos, trademarks, and other identifying marks of the Board, the System, and the component universities shall be protected and cannot be used without the express approval of the Board or its designated representative.

See UHS Board of Regents policy 09.02 at <http://www.uhsa.uh.edu/board-of-regents/policies/index.php>.

University Names

The official name of this university is the University of Houston. All first references in any publication and in the titles of all publications should consist of the complete name: University of Houston. The abbreviation for the name of this university is UH. It may be used as a second reference or by itself.

The University of Houston is one of four universities in the University of Houston System. The other three universities are:

University of Houston-Clear Lake, an upper-division and master's level institution;

University of Houston-Downtown, a four-year undergraduate and master's level institution;
and

University of Houston-Victoria, a four-year undergraduate and master's level institution.

University Seal

According to historical accounts, the seal is the coat of arms of General Sam Houston. The seal was adopted for use by the university in 1938 in conjunction with construction of the new UH campus.

The seal is an official, trademarked symbol of the University of Houston. It is not to be used interchangeably with the interlocking UH logo.

The seal is reserved for academic use only by the Office of the Chancellor/President, the Provost's Office and deans. Other uses must be approved by the Associate Vice Chancellor and Associate Vice President for University Relations, 713-743-0945.

University Logo

The University of Houston logo may be used on advertising, general publications, newsletters, stationery and business cards, signage, and souvenirs.

The University of Houston logo may be used by any university office for university publications or activities. Any other graphic logo representing the University of Houston may be used only with the prior permission of the Office of University Relations, adapproval@uh.edu.

Offices not affiliated with the university may use the University of Houston seal or logo only with written permission from the Associate Vice Chancellor and Associate Vice President for University Relations, 713-743-0945.

No Guns on Campus

The University of Houston does not allow weapons on campus, including by persons who are authorized to carry concealed weapons under Texas law. The University follows state law regarding this prohibition, as established in Texas Penal Code § 46.03 and related sections. Notify UH police immediately if a determination is made that someone is carrying a weapon on campus.

Violence in the Workplace

Any faculty member observing, involved in, or who in any other manner becomes aware of a violent incident on campus should immediately notify the University of Houston Police

Department (UHPD) by calling 911. Callers should identify themselves to the police dispatcher and stay on the phone with him / her as long as their safety permits. The dispatcher will request information on the location (building and room number) and nature of the incident, description of any weapons used or displayed, description of all involved parties (both the assailant and victim), and a description of any vehicles involved in the incident.

Operation of the University of Houston under Emergency Conditions

An individual who becomes aware of a potential emergency, should contact the UH Police Department (UHPD) at 713-743-0600. To report an emergency, call 911.

For information during a campus emergency call:

UH *OnCall* at 713-743-2255; or

Central UH directory assistance at 713-743-1000.

Go to the UH Emergency Website at <http://www.piersystem.com/go/site/1093>

Differing procedures will be followed depending on whether an emergency is:

a campus-wide emergency, such as hurricanes, tornadoes, or flooding;

a localized campus emergency, such as specific bomb threats, fires, chemical releases, and explosions; or

a non-emergency operational problem, such as broken or frozen water pipes, building damage, and electrical outages.

These procedures are described in MAPP 06.01.01.

The Chancellor/President, or his/her designee, will issue relevant directions and orders in response to an emergency. Unless a situation is deemed to be immediately life-threatening, the only person who may order an evacuation of a building or the closing of the campus is the Chancellor/President or his/her designee.

The conditions under which classes may be canceled are described in the above referenced MAPP. In particular, the cancellations must be authorized by the Provost, or his/her designee. Employees are expected to continue their usual activities unless explicitly notified otherwise. The latest information will be available at UH OnCall or from the university web-page at <http://www.uh.edu/>.

For additional information visit the MAPP 06.01.01 website at <http://www.uh.edu/af/universityservices/policies/mapp/06/060101.pdf>.

Benefits

Compensation

Direct Payroll Deposit

(UHS Administrative Memorandum 03.D.07)

Salary payments will be initiated through direct deposit to the faculty member's bank account or another method of electronic funds transfer such as by paycard.

Salary Increments for Faculty

Faculty may receive salary increments on an annual basis, subject to the availability of funds appropriated by the Texas Legislature unless otherwise mandated by the State or Board of Regents. Increments shall be awarded on the basis of merit as determined in the annual performance evaluation of each faculty member. Faculty are evaluated in all three of the principal areas of faculty activity: teaching, scholarship and creative activity, and university and community service. The criteria applied in the evaluation process will vary from college to college according to their different missions.

Faculty Administrators

University of Houston System Guidelines on Academic Administrative Salaries

All members of the faculty who serve on twelve-month administrative appointments in positions at or above the level of dean or its equivalent for a period of at least one year shall return at the conclusion of the administrative assignment to their respective faculty ranks on a nine-month academic appointment with the salary base as determined by existing contract or current Board of Regents policy. This does not include persons serving in acting positions.

Each college determines its own compensation policy for administrators below the level of dean subject to the approval of the Provost. The university policy stipulates the conditions under which such administrators return to the faculty. The university compensation policy is subject to the approval of the Chancellor/President.

Administrative Stipends Attached to Specific Offices

In recognition of additional responsibilities and the more comprehensive time commitment required for some administrative offices, an administrative stipend may be provided where appropriate. This stipend is assigned to the office; it is not a part of the base salary of the person holding the office, and it will be relinquished when the individual leaves the office. For persons appointed from the outside, the initial negotiation should include all aspects of compensation.

Additional Compensation Policy for Faculty

It is the policy of the University of Houston not to provide additional compensation over and above 100% FTE to faculty except in unusual circumstances. This policy is based upon a statement from the American Council on Education which reads in part, "...universities should avoid extra compensation for work on special projects during the academic year. The base university salary should include compensation for all university duties (teaching, administration, intra-university consulting)."

However, there are sometimes special and extenuating circumstances outside normal duties for which additional compensation may be justified. Additional compensation may be granted only with advance approval by the Dean and the Provost. All such payments must be made through the university's payroll system and are subject to withholding and other payroll deductions.

Additional Compensation

Faculty who work on special projects outside their normal duties may receive additional compensation as follows:

- A. Teaching regularly scheduled academic classes, including off-campus and instructional television, as an overload assignment during the academic year or during the summer.
- B. Teaching and/or coordinating contract or continuing education (non-credit) courses (including short courses, seminars, workshops, and conferences) scheduled at departmental, college or university level.

Additional compensation includes compensation from any university account. Research grants funded by external agencies are thus included in the term additional compensation. Additional compensation to be paid from contract or grant accounts must have prior approval from the sponsoring agency before institutional approval can be given.

Amount of Additional Compensation

With prior approval of the appropriate Dean and the Provost, faculty on nine month contracts may receive additional compensation beyond their contract level. An equivalent of three months for those on nine month contracts (one month for those on eleven months) may be received in additional compensation if properly approved prior to the activity or activities. Please note that this amount will be reduced by any teaching or regular summer assignment pay. Regular summer assignments do not require approval.

With prior approval of the appropriate Dean and the Provost, faculty who have received the equivalent of their twelve month salary in total university compensation, and faculty on twelve month contracts, may receive extra additional compensation beyond the level specified in the paragraph above. Extra compensation so received in both instances cannot exceed \$15,000 or 20% of the twelve month salary, whichever is greater, in a fiscal year.

For those service and research awards and chair stipends approved and on file in the Provost's office, no additional compensation forms are necessary. Further, a form is not required for participation as a human subject in an approved protocol.

Faculty who are on less than a twelve month contract may do research and be paid from research funds during the time not covered by that faculty member's contract. Compensation shall be at the faculty member's contract rate. An additional compensation form is not necessary in this instance.

The requesting department is responsible for initiating the Request for Additional Compensation form. The faculty member is responsible for verifying that the form is completed (with required signatures) prior to beginning the activity for which additional compensation will be received. Both the faculty member and the college/division administrator are responsible for monitoring the total amount of additional compensation received during the fiscal year and for ensuring that it does not exceed the maximum limit as set forth in the second paragraph under Amount of Additional Compensation.

Exceptions to this policy may only be made for very compelling reasons and in unusual cases.

For more information or approval forms, call the unit administrator.

Graduate Work by Faculty

The University of Houston encourages the professional development of its faculty. There are, however, institutional, professional, and academic concerns involved when faculty members teach other faculty members on campus. These concerns include competition, conflict of interest, and restriction on freedom of academic and administrative decisions. In view of these possible concerns, the following policies have been developed:

- A. A faculty member wishing to take an individual course when such a course is not part of his/her specific degree program should secure the prior permission of the instructor.
- B. Full-time faculty and members of the professional staff may pursue course work toward the attainment of a graduate degree at the University of Houston only with the recommendation of the deans involved and the approval of the chief academic officer.
- C. As a general rule, full-time faculty members at the rank of assistant professor or higher will not be admitted to any doctoral program in this institution.
- D. Individuals seeking exception to these policies shall secure supervisory concurrence through channels normally used for the approval of personnel recommendations. All requests for exceptions to this policy must be referred finally to the Office of the Provost.
- E. Interpretations of this policy shall be made by the Office of the Provost at the request of the faculty member's dean.

Insurance

Group Insurance Plans–Texas Employees Uniform Group Insurance Program

(Administered by the Employees Retirement System of Texas)

The following insurance programs are available to faculty (who have appointments of one-half time or more for a period of 4.5 months or more) at the university.

Overview of Group Benefit Options

The ERS benefits program includes a basic level of benefits for each eligible employee. This includes employee medical coverage and term life and accidental death and dismemberment insurance.

See Human Resources Customer Service Center, 713-743-3988 for coverage options or visit the website at <http://www.uh.edu/admin/hr/>.

Eligibility

Employees are eligible to participate in the ERS group benefits program and TexFlex if:

- A. They are higher education employees who are eligible to participate in the Teacher Retirement System or the Optional Retirement Program, or
- B. They are ineligible to participate in the Teacher Retirement System but are graduate students at an institution of higher education, and are employed at the institution of higher education at least 20 hours per week or one-half the standard faculty workload, and the employment is intended to be for more than 4.5 months or a full semester of more than four months, or
- C. They are retired and eligible to receive retirement benefits under either the Teacher Retirement System or the Optional Retirement Program, or
- D. They are members of an institution of higher education's Board of Regents who have been appointed subject to Senate confirmation.

Family members eligible for optional dependent coverage include the employee's spouse and unmarried children up to age 25 who live with the employee or for whom the employee provides necessary care and support. The employee cannot have double coverage through the state system. For example, he or she cannot be covered as both an employee and a dependent or as an employee and a retiree.

State Contributions

The state contributes group insurance credits toward the payment of medical insurance premiums for each approved state medical plan. Information on the amount of state credit per plan may be obtained from the Benefits section of the Human Resources Department.

Faculty on a term basis of nine months or a spring semester appointment of 4.5 months continue coverage through the summer months by paying summer premiums in April and May, with no premium payments during the months of June, July, and August. Faculty on a term basis of twelve months continue coverage through the summer months by paying premiums in June, July, and August.

For additional information: Employee Benefits, Human Resources Customer Service Center, 713-743-3988, or visit the website at <http://www.uh.edu/admin/hr/>.

Travel Insurance

Travel Life Insurance is provided without charge to faculty and staff traveling on official and authorized university business more than 100 miles outside the Houston area. Coverage is five times the traveler's annual salary up to a maximum of \$250,000. Documentation, such as a Travel Request, must be provided that the employee's trip was approved by his/her supervisor. (For the University of Houston Travel Policy see *page 111*.)

**For additional information call the unit administrator or Environmental Health, 713-743-5865 or visit the website at <http://www.uh.edu/ehs/>.*

Liability

Texas Tort Claims Act and Texas Practices and Remedies Code (Chapter 101 and Chapter 104), provide to state employees certain protection from personal liability for their negligent acts or omissions when acting in the course and scope of their employment with the university. Chapter 101 pertains primarily to incidents arising from the operation of motor vehicles and with conditions or use of tangible personal or real property; Chapter 104 provides indemnification for state employees for acts and omissions in the course and scope of employment of up to \$100,000 per person and \$300,000 per occurrence of personal injury, death, or deprivation of a right, privilege, or immunity; and up to \$10,000 per occurrence of property damage. Under chapter 101, the state may be subject to liability for the negligence of an employee to a limit of \$250,000 per person and \$500,000 for a single occurrence for personal injury or death and \$100,000 for each occurrence of property damage. The Office of the Attorney General of Texas provides the legal defense in such cases, and should an incident occur where litigation is threatened or commenced against an employee of the university, such employee should immediately consult the University of Houston System counsel.

Leaves of Absence

(For more information, see UHS Board of Regents policy 57.06)

The Board delegates to the Chancellor/President or his/her designee the authority to grant extended leaves of absence to employees of the System. Leaves may be granted for such purposes as research and writing, education, other personal development, or extended illness, according to System guidelines. Leaves are awards for specific periods up to twelve months. Consideration may be given for renewal.

Leaves of absence for personal reasons may result in an extension of the probationary period. See *pages 66-67* for the policies on Extension of Probationary Period.

Faculty Development Leave

As a research university, the University of Houston depends upon the knowledge and skill of its faculty. To enhance these skills, each college has provisions for faculty development leaves. Such leaves should be arranged in accordance with college leave policies and the Board of Regents policy 57.06, Leaves of Absence.

Faculty development leaves, granted for either one academic year at one-half salary or for one long semester at regular salary, provide an opportunity for full-time faculty to improve their professional effectiveness through research, writing, study, field observation, or other suitable professional activities.

Leaves of absence with pay are awarded by the faculty member's college according to policies approved by the Provost. Leaves with pay are designed for tenured faculty who have held full-time, tenure track positions at the University of Houston for at least seven years. Candidates must present justification for the time needed to conduct research or carry out professional development for an extended period, and agree to return to the University of Houston upon completion of their leave. Professional development leaves are designed to enhance the senior faculty member's total effectiveness and are awarded for a maximum of 12 months. One extension, up to 12 months, may be awarded under some circumstances.

To apply for a leave with pay, candidates submit their requests to the deans of their colleges, following college policies. The dean then forwards the request to the Provost for approval.

Frequently faculty find external funding for their educational leaves. In this case they should request a Leave without Pay. These leaves are normally for one semester or one year. Should faculty members require more time, they may request an extension for up to a total of two years. Leaves and extensions must follow college procedures and then be approved by the Provost. Employment benefits are affected by leaves without pay; please refer to *pages 85-86* in the Handbook for a description of the leave's impact on benefits.

Sick Leave Policy

(System Administrative Memorandum 02.D.01)

Full-time faculty of the University of Houston System shall, without deduction in salary, be entitled to sick leave subject to the following conditions:

- A. A faculty member will begin earning entitlement for paid sick leave on the first day of employment, and credit for one month's accrual will be given and posted for each month or each fraction of a month to that faculty member's leave record on the first day of employment and the first day of each succeeding month of employment thereafter.
- B. The faculty member will accrue sick leave at the rate of eight hours per month of full-time employment. Faculty who are employed at least 50% FTE but less than 100% FTE shall accrue sick leave at a percentage equal to their percentage time employed. Sick leave shall accumulate with the unused amount of such leave carried forward each month. Sick leave accrual shall terminate on the last day of duty.
- C. Sick leave with pay may be taken when sickness, injury, or pregnancy and confinement prevents the faculty member's performance of duty, or when the faculty member is needed to care for and assist a member of his/her immediate family who is ill. *Immediate family* is defined as those individuals related by kinship, adoption, or marriage or foster children who are certified by the Department of Protective and Regulatory Services and who are living in the same household as the faculty member. If the family member does not reside in the faculty member's household, use of sick leave is limited to the time necessary to provide care and assistance to a spouse, a child or parent of the faculty member who needs such care as a direct result of a documented medical condition. For the purpose of this policy, parent does not cover parents-in-law of the employee.
- D. An employee who must be absent from duty because of illness shall notify the appropriate supervisor or cause the supervisor to be notified of that fact at the earliest practical time.
- E. An employee who uses sick leave is required to document his/her absence from work in accordance with procedures established for such documentation by each component.

- F. To be eligible for accumulated sick leave with pay during a continuous period of more than three working days, a faculty member absent due to illness shall send to the administrative head of the responsible unit a health professional's certificate showing the cause or nature of the illness, or some other written statement of facts concerning the illness that is acceptable to the administrative head. It is within the discretion of the administrative head to require documentation concerning illnesses resulting in absences of three working days or less. Each component head may delegate this authority to the employee's supervisor.
- G. Upon return to duty after sick leave, the faculty member concerned shall, without delay, complete the prescribed application for sick leave and submit it through proper channels to the appropriate approving authority for consideration. Faculty members must submit prescribed leave forms for all sick leave if the absence occurred during the normal workday for regular employees, even if no classes were missed.
- H. The beneficiary or estate of a deceased faculty member is entitled to payment of one half of the unused sick leave or 336 hours, whichever is less, provided that the faculty member had continuous state employment for at least six months at the time of death.
- I. Exceptions to the amount of sick leave a faculty member may take may be authorized by the Chancellor/President on an individual basis after a review of the merits of a particular case. A statement of any such authorized exceptions and the reasons for them shall be attached to the university's timesheet for the payroll period affected by such authorized exceptions. See section below on Extended Illnesses for details.
- J. Faculty members on twelve month appointments shall be covered by the annual leave policies found in the *Staff Handbook*.

Faculty accumulate eight hours of sick leave per month of teaching. When faculty members or members of their immediate family become ill, faculty must notify the department chair or college associate dean immediately to make plans to provide substitute instructors or activities for all missed classes. When faculty sign their time sheets at the end of the month, they are required to note the hours spent away from campus because of personal or family illness. During the academic session, the days spent away from campus accumulate at eight hours per day, whether a class was held or not.

Interagency Transfer of Sick Leave

A person employed by the university who previously has been employed by another agency of the State of Texas, whose employment with the state is uninterrupted, and who is eligible for sick leave with the University of Houston may transfer to the university accumulated sick leave credits. Employees separated from employment with the State under a formal reduction in force policy shall have their sick leave balance restored if reemployed by the State within twelve months of their termination. In addition, employees who are separated for other reasons may also apply to have their sick leave balance restored if they are reemployed by the State within twelve months of their termination, provided that these employees have had a break in service of at least one month since their date of termination.

Any person transferring sick leave credits to the university from another state agency under the terms of these provisions may use these credits at any time after employment subject to the usual supervisory notification and requirements for use of sick leave.

It is the responsibility of the new faculty member to secure documentary proof of transfer credits from former employers. Such documentary proof shall be presented to the Human Resources within six months of employment.

Sick Leave Pool

(Board of Regents policy 57.09)

The Board of Regents delegates to the Chancellor/President the authority and responsibility to adopt and implement a program within the System to allow employees voluntarily to transfer sick leave time earned by the employee to a sick leave pool, administered by the Chancellor/President or his/her designee, for the benefit of eligible employees suffering from catastrophic illnesses or injuries. The Chancellor/President shall not be eligible to participate in the sick leave pool.

The sick leave pool allows salary continuation to an employee who has exhausted all paid leave time because the employee or a member of the employee's immediate family experienced a catastrophic illness or injury. A physician's statement must accompany each request. There is a 90-day lifetime maximum that may be used in increments of up to 30 days at a time. A new physician's statement must be submitted with each request.

Employees may voluntarily transfer any number of sick leave hours from their personal accumulation to the sick leave pool each fiscal year.

For additional information: Employee Benefits, Human Resources Customer Service Center, 713-743-3988 or visit the website at <http://www.uh.edu/admin/hr/>.

Extended Illnesses

When faculty members' or their immediate family members' illnesses require extended time away from campus, faculty members should make long term arrangements for their students. Students must be notified beforehand, whenever possible, to make other arrangements for their appointments, classes, and research. Department chairs or the associate deans will facilitate these arrangements in addition to informing the faculty member of the pertinent rules regarding extended illnesses.

Most of the regulations concerning extended illness are set by state law and must be observed without deviation. For example, during the academic session, the days spent away from campus (eight hours per day, whether a class was held or not) must then be noted on the time sheet at the end of the month.

In cases of extended illness, faculty members use their paid sick leaves at a rate of eight hours per working day, whether they have classes or not. At the end of the sick leave, faculty may be eligible for additional days from the campus sick leave pool and should petition the Benefits Office. Pool availability will determine acceptance or denial of the petition.

When all paid leave is exhausted, ill or disabled faculty may request a Leave without Pay for an additional 12 months, the maximum allowed by the State of Texas. At any time during these leaves, faculty who regain their health will have the option to return to their teaching and research duties.

At the end of the 12-month Leave without Pay, faculty members must either return to their prior positions and fulfill all professorial duties or resign, according to State law. In the event that they are no longer able to assume their prior full-time roles, faculty members need to discuss their future plans with the Benefits Office and department chairs or associate deans.

Several options are open to faculty members whose disability extends beyond the time of their sick leave and Leave without Pay. The choice depends on the nature of the disability, the length of service, insurance benefits, and other individual differences. For example, should the disability allow, faculty members may work part-time as needed by the department or college. In this case they only will be eligible for those benefits given to any part-time faculty member. Faculty with at least 10 years of service to the University of Houston may take a Disability Retirement. This allows them to receive paid retirement benefits (health and life insurance but no Long Term Disability or retirement deductions). Faculty on Disability Retirement are eligible for all other retirement benefits, including consideration for Emeritus status. These faculty members should speak with their chairs or associate deans, as the Disability Retirement is similar to any voluntary modification of employment, which is described below.

Faculty members with Long Term Disability (LTD) Insurance may receive compensation under the conditions of their insurance contract. These payments terminate at age 65. Faculty may still be responsible for payment of all or part of their health and life insurance premiums.

Please see the University of Houston System Sick Leave Policy on pages 169-172.

Family and Medical Leave

Under the Family and Medical Leave Act of 1993 qualified employees are entitled to take up to twelve weeks of Family and Medical leave per year for the birth or adoption of a child, to care for a spouse or family member with a serious health condition, or when unable to work because of the employee's serious health condition. Family and Medical Leave runs concurrently with any paid sick leave. The university is required to maintain any preexisting health coverage during the leave period and must reinstate the employee to the same or an equivalent position when the leave period is over.

Parental Leave

Employees who are not qualified for Family and Medical Leave are entitled to take up to twelve weeks of Parental Leave per year for the birth of a natural child or the adoption or foster care placement of a child under three years of age. Parental Leave runs concurrently with any paid sick leave. The university is required to maintain any preexisting health coverage during the leave period and must reinstate the employee to the same or an equivalent position when the leave period is over.

For details on Family and Medical Leave or Parental Leave, see MAPPs 02.02.01 and 02.02.02 or contact Employee Benefits, Human Resources Customer Service Center, 713-743-3988, or visit the website at <http://www.uh.edu/admin/hr/>.

Vacation Policies

Vacation Accruals for Faculty on Twelve-Month Appointments

Faculty members who accumulate vacation time as the result of appointments to an administrative post, whether full- or part-time, should utilize all vacation accumulations prior to returning to an appointment of less than twelve months or transferring to a new twelve-month appointment. It is the responsibility of the administrator to whom the faculty member reports to see that the accumulated vacation time is used prior to the time the faculty member leaves the twelve-month position.

Vacation time shall be taken in its normal form except where doing so would pose serious administrative problems for the department. Faculty members with twelve-month appointments will accrue vacation according to the schedule for staff and are subject to provisions applicable to staff for payment of vacation.

A faculty member who resigns, is dismissed, or is otherwise separated from the university shall be entitled to be paid for all vacation time duly accrued at the time of separation, provided he or she has had continuous employment with the State for at least six months.

Vacation Accruals for Faculty with Appointments Funded by Contracts and Grants

Faculty members who accumulate vacation time as the result of appointments to contracts and grants at 100 percent FTE for a period of one year or more should utilize all vacation accumulations prior to returning to full-time instructional duties. It is the responsibility of the administrative department head to which the faculty member reports to see that the accumulated vacation time is used prior to the time the faculty member leaves the contract or grant. Department heads are encouraged to monitor accrued time closely and to encourage that vacation time is taken in a timely fashion. A faculty member whose appointment to a contract or grant is shared with a teaching appointment, or whose appointment covers only the summer session, does not accrue vacation.

Vacation time requests should be granted except where this would pose serious problems for the department. At the option of the department head, after discussion with the affected faculty member, vacation accumulations may be reduced through the purchase of hours at the current salary rate. In no instance, however, may more than 80 hours of vacation accrual be purchased. If the contract or grant does not have sufficient funds to purchase such accrual, or if the agency's policies preclude such payments, it is the responsibility of the department head to provide budgeted funds sufficient to pay for the purchase of accrued vacation time at the time the appointment is terminated.

Retirement

Retirement is available to any faculty member at age 65 with a minimum of ten years of participation in one of the university's retirement programs. Early retirement with reduced benefits, which may include health, dental, and life insurance, is available at age 55 with a minimum of ten years participation in one of the university's retirement programs.

For additional information: Human Resources Customer Service Center, 713-743-3988 or visit the website at <http://www.uh.edu/admin/hr/>.

University of Houston Retirement Plans

Two types of retirement plans are available to faculty of the University of Houston: the Teacher Retirement System (TRS) and the Optional Retirement Program (ORP). Participation in a retirement program is a mandatory condition of employment established by state regulations for all faculty appointed one-half time or more for one semester (4.5 months) or longer.

Each faculty member's contribution to TRS or ORP is a percentage of his/her gross salary. The contribution by the State of Texas is made at a rate determined by the legislature. The data on these contributions can be obtained from the University Benefits Office.

Detailed information regarding both plans is available in the Human Resources Customer Service Center, 713-743-3988, or visit its website at <http://www.uh.edu/admin/hr/>.

Teacher Retirement System

TRS is a defined-benefits plan that provides retirement benefits based on length of service and salary level. It is tax-deferred (effective January 1, 1988), has a five-year vesting period (effective September 1, 1989), and offers both disability and death benefits. The program is administered by the Teacher Retirement System of Texas.

Optional Retirement Program

ORP is available only to faculty appointed on a full-time (100 percent FTE) basis for one semester (4.5 months) or longer, and to some professional staff, as specified by state law, who are also appointed on a full-time (100 percent FTE) basis. Retirement benefits are based on fund accumulation. Individual contributions are tax deferred, and state contributions are vested after one year and one day of participation in the plan. ORP does not include disability or death benefits. Approved plans are available from insurance or annuity companies and other providers qualified and admitted to do business in Texas and approved by the University of Houston. A list of approved providers and agents is available in the Employee Benefits Office (Human Resources Customer Service Center, 713-743-3988).

Tax-Deferred Annuities and Tax-Deferred Compensation

Faculty of the University of Houston may voluntarily purchase tax-deferred annuities with a portion of their salary. A specified amount, not to exceed a liberal exclusion allowance, will be withheld from the faculty member's salary for retirement and is not taxed currently as income to the faculty member. These contributions are deposited with an approved company of the faculty member's selection.

In addition to the Tax-Deferred Annuity Program, faculty may enroll in the State of Texas Tax-Deferred Compensation Plan, which also enables them to defer tax on salary.

For details on plans and carriers, see Human Resources Customer Service Center, 713-743-3988 or visit their website at <http://www.uh.edu/admin/hr/>.

Social Security

As an employer, the University of Houston complies with the relevant provisions of the Social Security Act. All faculty are required to participate in the Federal Social Security program as a condition of employment.

Services

Employee Assistance Program

Legal Services

Consultation and Referral

The free consultation benefit covers up to thirty (30) minutes either in the Plan Attorney's office or over the phone. The number of consultations is unlimited, except that each one must be on a different legal matter. Consultations are provided by the local Plan Attorney who is determined to be the best match for an individual's needs by a Personal Access Specialist (PAS) who may ask a number of background questions and who will get in contact with one or more Plan Attorneys in the area to confirm availability, check for conflicts and be sure the matter falls within their practice area. This sometimes causes a slight delay in the referral. The Plan Attorney will be within 23 miles, with an occasional exception for rural areas. All matters that go beyond the free consultation will be billed by the Plan Attorney at a discounted rate of up to 25% off.

Simple Will

What constitutes a Simple Will varies by state, so it is difficult to give parameters into which a will must fall to be covered. This benefit is provided by completing a Will questionnaire which will be reviewed by a local Plan Attorney. An employee will have the option to include additional information with the basic Will questionnaire and have the Plan Attorney review the individual's situation and make recommendations for other documents that may be helpful. It typically takes two to four weeks to complete the Will once the Will kit is received.

Financial Services

Financial advisors take a holistic view of an individual's finances and offer appropriate advice based on their professional analysis. When employees call, preliminary data is gathered to link them with the best financial professional for their needs.

Unlimited advice and an analysis are provided on a no-charge basis up to 30 minutes per question. If the client would like to have services performed, the financial advisor will do so for a discounted fee. (If help is needed with tax preparation, a referral will be made to the appropriate CPA)

The financial consultants provide advice on the following: Tax Planning; IRS Questions; Retirement Planning; Credit Advice; Investment Planning; Personal Budgeting; Debt Consolidation; Estate Planning; Tuition Funding; Debt Retirement; and many other financial situations.

Work/Life Services

Counseling, education and referral services that give employees the tools they need to better balance their work and professional responsibilities -- in-person, online or by phone access. Covers solutions for moving, childcare, eldercare, stress management, wellness and much more.

Work/Life Balance: Free, confidential meetings to assist employees on how to achieve balance in their work and personal lives.

Relocation Counseling: Cross-country or across the street moves are made easier with a wealth of free information.

Child Care: The Work/Life Program can provide an unlimited number of licensed child care providers in the state of Texas to match a particular child's needs.

Elder Care: The Work/Life Program provides free comprehensive and ongoing Elder Care Needs Assessment, Planning, and Resource Services information for any location in the United States.

Wellness: This program can provide onsite seminars in stress management, and smoking cessation, as well as establish a walking program and weight watchers.

All of the above services are confidential. For more information contact a work/life coordinator at 713-500-3013.

For more information please contact the Employee Assistance Program website at <http://publicaffairs.uth.tmc.edu/worklife/eap/> or contact Human Resources Customer Service Center, 713-743-3988, or visit the HR website at <http://uh.edu/admin/hr/>

Counseling and Psychological Services

Counseling and Psychological Services (CAPS) offers a variety of services that assist members of the university community in functioning effectively in their academic and personal lives. Mental health professionals are available to all students, faculty, and staff seeking assistance. Psychology ethics and state law require that these services be confidential except under unusual, well-defined circumstances. Services include: Crisis Intervention; Individual, couples and group counseling; LD, ADHD, personality and career assessment; Consultation; Crisis Response to Critical Traumatic Events; and Outreach.

All currently enrolled students at the University of Houston are eligible for comprehensive services at CAPS, most of which are free. UH staff and faculty are eligible for up to 3 counseling sessions, crisis intervention, consultation and referrals. If you are interested in counseling or assessment services, simply call CAPS at 713-743-5454 to arrange a free intake appointment. An intake appointment usually requires 90 minutes, including time to complete paperwork. Intakes are available throughout the week and can be scheduled at your convenience. The intake is an opportunity for you and a CAPS clinician to determine what kinds of services will best meet your needs. An individual experiencing a crisis can come to CAPS during office hours and we will work you in with the first available therapist.

CAPS hours of operation are as follows: Fall and Spring Semesters: Monday and Tuesday, 8:00 a.m. - 7:00 p.m. and Wednesday - Friday: 8:00 a.m. - 5:00 p.m. Summer and between semesters: Monday - Friday, 8:00 a.m.-5:00 p.m.

In case of imminent danger, call 911. After hours crisis resources for students: MHMRA at 713-970-7000, Crisis Intervention of Houston at 713-468-5463 and UH Department of Public Safety at 713-743-3333.

Counseling and Psychological Services is located in 226 Student Service Center I. For more information, please call: Counseling and Psychological Services, 713-743-5454 or visit the website at <http://www.caps.uh.edu/>.

Psychological Research and Services Center

The University of Houston Psychological Research and Services Center (UHPRSC) offers psychological services to University of Houston faculty and staff members and their families as well as members of the community. The center is staffed by clinical psychology doctoral students and faculty from the Department of Psychology. The UHPRSC is a training facility offering treatment for anxiety, panic, depression, and personality disorders as well as adjustment problems related to sexual abuse, marital discord, divorce, and general life difficulties. Individual, couple, family, and group treatment approaches are included with emphasis on the most recent developments in psychotherapy.

The UHPRSC is located at the South Office Annex on Cullen Boulevard, Entrance 10. *For additional information: Psychological Research and Services Center, 713-743-8600 or visit the website at <http://www.uh.edu/prsc/>*

University Career Services

The following services are coordinated by University Career Services: career counseling and advising; JOBank; workshop series; internships; resume services; campus recruitment; vocational testing; alumni career services; career fairs; and computer resources.

Note: UH faculty and staff may access the UCS website (<http://www.career.uh.edu>) to post a job, review job postings, download handouts, and more by using the following User Name and Password: last name and the last three digits of the UH employee number (use for both User Name and Password).

For more information contact University Career Services, room 106 Student Service Center, at 713-743-5100, by fax at 713-743-5111, or visit their website at <http://www.career.uh.edu/>.

Child Care and Child Educational Services

Children's Learning Center

The University of Houston Children's Learning Center provides a nationally accredited early childhood program for children of University of Houston students, faculty, and staff. There are two convenient locations on campus serving children ages three months to five years.

The center is open from 7:00 a.m. until 6:00 p.m. Interested parents should inquire about enrollment/wait list at the earliest possible date. Center tours are available by appointment.

For additional information call: the Children's Learning Center at 832-842-0500, Fax 713-743-5489, email center@mail.uh.edu, or visit the website at <http://www.uh.edu/clc/>.

University of Houston Charter School

The University of Houston Charter School (UHCS) is a public school covering grades K-5. It is sponsored by the University of Houston and has a constructivist educational approach. The six multi-age classes are housed in Melcher Gymnasium. UHCS collaborates with faculty research and educational activities.

For additional information call: the University of Houston Charter School, 713-743-9111 or visit its website at <http://www.uh.edu/charterschool>.

Health Services

University Health Center and Pharmacy

Though established for students and supported by student service fees and fees for service, the University Health Center now provides medical care services to faculty, staff, and visitors who may become ill or injured while on campus. Fees for medical care for visitors, faculty, or staff are the individual patient's responsibility. The Health Center does not file on faculty and staff health insurance plans. Blood pressure screening, allergy injections, and immunizations continue to be available to faculty and staff. The University Health Center Pharmacy can also provide faculty and staff with many prescription and over-the-counter medications at a reduced rate.

Specialty clinics (Dermatology, Orthopedics, Women's Clinic, Men's Clinic and Psychiatry) are available to students by appointment only. The general Medical Clinic operates on a walk-in basis for all patients. Specialty clinics remain for currently enrolled students only.

A physician is on call 24 hours daily, 7 days a week for patient emergencies. After hour patients must call UH Police Department at 713-743-3333 to access the on-call physician. *For additional information call: the University Health Center, 713-743-5151, or visit the website at <http://www.uh.edu/admin/hc>.*

University Eye Institute

The University Eye Institute offers services that range from comprehensive vision examinations to the medical and surgical management of eye disorders. The Institute's nationally renowned vision professionals use advanced diagnostic instruments in over 80 exam rooms and 30 specialized testing areas, which means that patients can be assured of the best possible care, utilizing the latest in vision technology.

A wide range of vision care is available. Specialties include the Family Practice Service, Ocular Diagnostic and Medical Eye Service, Cornea and Contact Lens Service, Dry Eye Center, Vision Rehabilitation (Center for Sight Enhancement), Neuro-Optometric Rehabilitation, Multiple Sclerosis Eye Care Service, Sports Vision, Color Vision, and Pediatrics.. The Essilor University Optical Service provides professional fittings for prescription eyewear and sunglasses and features an extensive selection of budget frames as well as large collection of designer frames.

The University Eye Institute is located at 4901 Calhoun, UH Entrance 2, in the J. Davis Armistead Building. *For general information, please call 713-743-EYES (3937). For appointments and additional information: University Eye Institute, 713-743-2021, or visit the website at <http://www.opt.uh.edu/>*

University Speech, Language, and Hearing Clinic

The University Speech, Language and Hearing Clinic, a United Way agency, is the on-campus training facility for graduate students in the Department of Communication Sciences and Disorders who are working toward the Certificate of Clinical Competence in Speech-Language Pathology. Evaluation and treatment sessions are conducted by graduate students under the direct supervision of faculty and staff certified by the American Speech-Language-Hearing Association. The clinic serves the entire Houston community and offers a sliding fee for those who qualify.

The various communication problems evaluated and treated at the clinic include speech production, language disorders, voice, stuttering, apraxia of speech, aphasia, speech/language

difficulties associated with hearing impairment, pragmatic and social communication disorders, cognitive communication deficits, and communication challenges stemming from other medical etiologies. In addition, group and individual services are available for foreign-born individuals who wish to refine their pronunciation of English for career and social interaction purposes.

Hearing evaluations are conducted and a referral is made for a hearing aid evaluation if indicated. Hearing aid fittings, follow up and consultation regarding assistive listening devices are also provided at the USLHC.

For appointments and additional information call the USLHC, 713-743-0915 or visit the website at <http://www.class.uh.edu/comd/uslhc/>.

Financial and Other Services

Copy Services

The University Copy Center is a full service copying, printing and shipping store. Services include: postal services (UPS, FedEx, USPS); large format poster, sign, banner printing; paper shredding; and Course packs. The University Copy Center has two locations: the C. T. Bauer College of Business and the Welcome Center Parking Garage.

For more information call 713-741-5200 or visit <http://www.universitycopycenter.com/UH>.

Cougar Card

The Cougar Card is the official picture identification card for the University of Houston. Faculty should obtain a card and carry it at all times for identification purposes. It may be used to secure library privileges, to purchase tickets for recreational and athletic events, to ride Cougar Line Shuttle buses, to make discount purchases at the bookstore, and to access emergency health services and discounted services at the Optometry Clinic. In addition, faculty can access the \$25 printing and photocopying credit that is available to all UH employees each semester.

Faculty, staff, and students can pick-up their Cougar Card in the Cougar Card Office, located in the Welcome Center Parking Garage, Suite 101. Photo identification such as a driver's license, military ID, or Passport is required.

For more information: call the Cougar Card Office, 832-842-2273, or visit the Cougar Card website at <http://www.uh.edu/cougarcard/>

Bank

A branch of the Woodforest National Bank is located on the second floor of the University Center. The hours of operation are 9:00 a.m. to 4:00 p.m., Monday through Thursday, and 9:00 a.m. to 3:00 p.m., Friday.

ATMs are located throughout the campus in Moody Towers, Oberholtzer Hall, the Law Center, and the University Center.

For more information on services, call Woodforest National Bank at U of H, 713-743-1080, or visit the website at <http://www.woodforest.com/>.

Notary Service

A notary public service is offered to the public in the University Center. The signer must personally present a currently valid picture identification for each notarization. There is a charge for non-university documents.

For more information call: Notary Service, 832-842-6154.

Parking and Transportation Services

Parking and Transportation Services, a department within the Division of Administration and Finance, is responsible for parking registration, the Cougar Line university shuttle service, visitor information booths, and special events parking. In addition, the department provides a car sharing program, Connect by Hertz, and can assist in setting up carpools and vanpools.

Faculty/Staff Permits

Parking permits are available online. Permits will be made available for purchase mid-March for the upcoming academic year, and will be mailed beginning August 1 to the address chosen during registration. Faculty/Staff members may renew their current permit level each year. Faculty/Staff members wishing to change to a gated or reserved permit will need to purchase an ungated permit and add themselves to the desired lot's waiting list.

Citations/Appeals

Citation payments can be made online, or at the Welcome Center Parking Services Desk. Violations V01 through V05 are discounted if paid within 48 hours of being issued. Citation fines double after 21 days; therefore Faculty/Staff members are encouraged to take care of any parking citations in a timely manner. Citations can be appealed online before the 21 day deadline. A complete listing of parking rules and regulations is available on the parking website (<http://www.uh.edu/parking>).

Shuttle Services

The University of Houston offers a modern fleet of buses that service the University of Houston campus, the Energy Research Park and Metro's Eastwood Transit Center. This service is provided at no cost to riders. The buses are equipped with NextBus to provide real-time arrival predictions. To see when the next bus will arrive at your stop visit the parking website and learn how to access the system via a PC's web browser or by phone. For more information about routes and hours of operation visit the parking website (<http://www.uh.edu/parking>) or call the Customer Service Center.

Metro Services/Metro Q-Card

In addition to the Eastwood Transit Center, several Metro bus routes service the campus. Metro offers a "Trip Planner" on their website which provides assistance with planning a route between two addresses. For more information visit the website at <http://www.ridemetro.org>.

Parking and Transportation Services is located in room 112 of the Welcome Center Garage. *For more information concerning campus parking, call: Parking and Transportation, 713-743-1097, or visit the website at <http://www.uh.edu/pts/>.*

Plant Operations

Plant Operations maintains campus facilities and grounds including Facilities Management (FM), which is charged with the maintenance management of university facilities and grounds, and Facilities Planning and Construction (FPC), which is responsible for the oversight of all renovation, alterations and new construction for all system campuses.

Plant Operations works to ensure a quality environment for students, faculty, staff and visitors in support of the University's mission of teaching, research and community service.

*For more information on Plant Operations, call Facilities Management at 713-743-5566 and Facilities Planning and Construction at 713-743-8025. Contact the **FIXIT** line at 713-743-4948 or online at <http://www.uh.edu/plantops/> to submit a work request.*

University of Houston Department of Public Safety

The University of Houston Department of Public Safety (UHDPS) is a multiservice organization whose mission is to ensure the safety and security of persons and property at the University of Houston in a manner which enhances the intellectual and educational atmosphere of the university. The UHDPS is comprised of five separate divisions: Police, Security, Parking Enforcement, Environmental Health and Safety and Fire and Physical Safety.

Contacting UHDPS and Informational Resources:

For emergencies, call: ext. 911; for all non-emergencies, call: 713-743-0600. Please visit the UHDPS website at <http://www.uh.edu/admin/police/> for information on police and security services offered to the UH Community.

Emergency Management

Information on emergency management as well as the University's Emergency Management Plan can be found online at <http://www.uh.edu/emergency/>.

Police

Texas Higher Education Code

A. *University Peace Officers (51.203a)*

The governing boards of each state institution of higher education and public technical institute may employ and commission peace officers for the purpose of carrying out the provisions of this sub-chapter. The primary jurisdiction of a peace officer commissioned under this section includes all counties in which property is owned, leased, rented, or otherwise under the control of the institution of higher education or public technical institute that employs the peace officer.

B. *Unauthorized Person: Refusal of Entry, Ejection, and Identification (51.209)*

The governing board of a state institution of higher education or its authorized representative may refuse to allow persons having no legitimate business to enter on property under the board's control, and may eject any undesirable person from the property on his refusal to leave peaceably on request. Identification may be required of any person on the property.

The department's officers are commissioned by the Board of Regents; and licensed as peace officers through the state of Texas after receiving state-certified training in the duties and responsibilities of a Texas peace officer. Under state law the officers are empowered by the Regents to stop any person on campus for the purpose of obtaining identification; persons without legitimate business on campus will be required to leave.

In addition to traditional police services, the department offers crime prevention workshops, on-campus escorts, and assistance with starting disabled vehicles. The philosophical focus of the department is the belief that only through police and community teamwork can the university be made safe and secure for everyone. Emergency/Information call boxes and telephones are located throughout the university to provide citizens with direct, immediate access to the services of their police officers. The department has also initiated an extensive closed circuit camera system across the campus to enhance safety on the campus.

Requests for Police Services during Special Events

Individuals or organizations desiring to host special events on campus that require police services must utilize University of Houston Department of Public Safety police officers. Such *requests must be scheduled 14 calendar days in advance*. For additional information, call University Center Reservations or the University of Houston Police Department's Special Events section.

Under unique circumstances, and with the permission of the Chief of Police, visiting dignitaries will be allowed to have special police present.

Criminal Investigations

Should a criminal law be violated on campus, UHDPS will normally handle the investigation. During the course of a criminal investigation, UH Police Officers may need to serve a warrant, arrest or question a UH student, faculty, or staff member. Should this happen during normal business hours, UH Police Officers will make arrangements with the individual's immediate supervisor or with the faculty member for the meeting to take place in a manner that causes the individual the least embarrassment and does not interrupt either the work place or classroom.

Safety and Security Committee

The University of Houston Safety and Security Committee is a standing committee that works directly with the Assistant Vice President for Public Safety and Chief of Police to carry out its charge of advising university administration on campus activities and conditions that might affect the physical safety of students, faculty, staff and visitors to the campus. It has responsibility for safety in all areas not specifically delegated to one of the other committees named above.

Parking Enforcement

The Parking Enforcement Division of the Department of Public Safety handles pedestrian and vehicular traffic management on campus streets and parking lots. This is traditionally done through enforcement efforts geared towards gaining community compliance with parking regulations, Parking Enforcement personnel also respond to requests for motorist assistance for vehicles with dead batteries, keys locked in vehicles and vehicles with flat tires.

Fire Marshal's Office

The Fire Marshal's Office (FMO) Division of the Department of Public Safety is concerned with the safety of the entire campus; every individual and building falls under the responsibilities of this program. FMO areas of responsibility range from requirements mandated by the State of Texas through the National Fire Prevention Codes to compliance training and inspection issues associated with providing a workplace free from the hazards associated with physical safety issues. FMO provides support to the various building maintenance departments, Facilities Planning and Construction, Capital Renewal and Deferred Maintenance, and to the campus community as a whole.

- A. **Fire and Life Safety Standards:** The University is mandated by the State of Texas in the Texas Government Code, Article 417.008 and the Texas Administrative Code Title 28, Chapter 34-301-34.304 to follow the National Fire Protection Association (NFPA) Life Safety Code 101. The Life Safety Code addresses the construction, protection, and occupancy features necessary to minimize danger to life from fire, including smoke, fumes or panic. In addition to

the requirements of the Life Safety Code, the University has established a Fire and Life Code for addressing the aforementioned issues along with everyday workplace practice issues. MAPP 07.02.01 (Fire and Life Safety Code) establishes fundamental fire prevention requirements and adopts the NFPA 1 Uniform Fire Code by reference.

- B. **Inspections:** FMO personnel assist departmental supervisory personnel in carrying out their responsibility to maintain working conditions and facilities that are safe from fire and physical hazards. FMO accomplishes this by focusing its resources in several inspection functions. These functions include: inspecting and servicing all fire extinguishers located throughout campus; inspecting and testing all fire hose cabinets and oversight of the inspections and testing of all water-based fire protection equipment on campus; acceptance inspections and testing of all fire and life safety systems installed on campus; inspecting all campus facilities for fire and life safety hazards; inspection of all food service facilities; and assisting all impacted departments in developing plans of actions to correct deficiencies identified by the State Fire Marshal in a timely fashion.
- C. **Additional FMO Functions:** FMO further insures fire and life safety through a number of programs which include conducting fire and life safety plan review for renovations and construction projects, providing fire and life safety training to faculty, students and staff, and conducting fire drills in the Residential Life, Charter School and Children's Learning Center facilities on a routine basis.

For information on Fire and Life Safety, please visit the website at <http://www.uh.edu/fire/index.html>.

Academic Support

Use of State Property

It is the policy of the University of Houston System that any employee, entrusted with state property, is to use such property only for state purposes. This includes any physical property or information that is university property. Violation of this policy is cause for disciplinary action, up to and including dismissal.

Upon termination of employment, all employees must return any state property.

Removal of State Property from Campus

A request for authority to remove equipment from campus is available from the administrative unit. Property removed under these conditions will be the responsibility of the faculty member, who will be required to reimburse the university an amount equal to the replacement value for any lost, damaged, or stolen equipment.

For more information call: Unit Administrator or Property Management, 713-743-8758, or visit the website at http://www.uh.edu/finance/pages/PM_Website.htm.

Scheduling of Campus Facilities

The scheduling of facilities for all credit courses and labs and non-academic uses (including any directly related activities) is processed through the respective dean's office. The deans' offices and the Office of Registration and Academic Records coordinate the university's general and special classroom needs and assignments for academic purposes.

The scheduling of most facilities for non-academic campus activities is coordinated by the *University Center Reservations Office*, at 832-842-6167 in the University Center, or visit the website at <http://www.uh.edu/ucaf/> (look for Event Services). For individual room reservations provided by the University Hilton Hotel call 713-741-2447; for group events at the University Hilton call 713-743-2500 or visit the website at <http://www.hrm.uh.edu/THE-COLLEGE/Our-Hotel/>.

University Libraries

The University of Houston libraries include: the [M.D. Anderson Library](#) (the main library); the [William R. Jenkins Architecture and Art Library](#); the [O'Quinn Law Center Library](#); the [Music Library](#); and the [Weston A. Pettey Optometry Library](#).

These libraries constitute a premier research facility with collections of more than 2,000,000 volumes, 20,000 journal and other serial subscriptions, as well as large quantities of electronic resources, microforms, manuscripts, maps, and other library materials. The recently inaugurated UH Digital Library (<http://digital.lib.uh.edu/>) contains nearly 10,000 digital images documenting the history of the University of Houston, City of Houston, and State of Texas, as well as other historically and culturally significant materials related to the University's teaching and research mission.

The M.D. Anderson Library is open more than 100 hours a week. Reference service, available more than 70 hours a week, provides users with assistance in locating information and resources. Subject librarians in all major disciplines offer specialized reference and research assistance, lecture

regularly to classes, and develop the library collections in their subject areas. Over 260 networked databases are available in the Academic Research Center on the first floor. These databases contain the full text of millions of articles, indexes to help users identify articles and reports, statistics, directories, and many other types of information. Most of the databases are available to UH faculty, students, and staff from their homes or offices. A wireless network within the M.D. Anderson Library provides access to the Internet and online library resources. Access to the University's CougarNet (with word processing and courseware capabilities) also is available.

The Learning Commons, also located on the first floor of the M.D. Anderson library, offers flexible and inviting spaces for both collaborative and individual work, new opportunities for developing presentation projects, enhanced access to sophisticated computing technology and advanced applications, improved options for reserving equipment, and greater responsiveness to technical questions. This facility provides both high-end PCs and Macs. These computers feature either dual or large-screen monitors. A wide variety of software is available, e.g., Adobe Creative Suite, Apple iLife Suite, Camtasia Studio, Captivate, Visual Studio, Endnote, Mathematica, Matlab, SPSS, and SAS.

The library is a depository for both United States and Texas state documents. Extensive holdings of newspapers on microfilm include complete files of the *London Times*, the *New York Times*, the *Houston Post and Chronicle*, and substantial runs of other significant national papers.

Several large sets of research materials are available on microform, such as the Educational Resources Information Center (ERIC) research reports in education, company 10-K and annual reports, and the papers of a number of United States presidents. The Special Collections Department of the library houses rare books, the University Archives, the Women's Archives Research Center, manuscripts of several American authors, including Larry McMurtry, Beverly Lowry, and Fritz Leiber, and substantial collections of rare and historical works, especially in Texas history.

An [online library catalog](#) provides information about the collections of the University of Houston libraries as well as those of the UH Law Library, the UH-Downtown library, and the UH-Clear Lake Library, may be searched from remote sites through the campus network or the Internet. University of Houston faculty, students, and staff may borrow materials from all University of Houston System libraries.

The library extends its collection by participating in a number of resource sharing networks. At a national and international level, the university's membership in the Center for Research Libraries provides shared ownership of more than three million research materials. Online access to the cataloging records of more than 32 million items in 30,000 libraries worldwide is also available through WorldCat. The University of Houston Libraries also participate in the OCLC Reciprocal Faculty Borrowing Program which offers faculty members access to the collections of more than 150 major research libraries. Faculty members may obtain a card for this program from the Service Desk. Traditional collections of books and journals are available through the TexShare library card program. This allows students, faculty, and staff of the university to borrow items at over 130 libraries statewide.

Faculty and students may borrow materials through these programs and from other research libraries in the United States and abroad by using interlibrary loan services. Additionally, faculty may request photocopies of articles from non-circulating journals, newspapers, or other serials in paper or microform that are owned by the University of Houston Libraries. These photocopies as well as interlibrary loan requests may be placed by using the Iliad interlibrary loan service.

In cooperation with the Houston Public Library, all university libraries are affiliated with the Houston Metropolitan Research Center, which houses a large collection of manuscripts, archives, and photographs pertaining to the city of Houston.

The staff of the libraries welcomes inquiries concerning library programs, resources, and services.

For additional information, visit the website at <http://info.lib.uh.edu/>.

Bookstore

In addition to a full range of textbooks and special interest works in math, engineering, the sciences, and the humanities, the university bookstore stocks popular works of fiction and non-fiction and merchandise in clothing, jewelry, and paper supply areas. Calculators, engineering supplies, notebooks, art boards, inks, paper products, writing instruments, toys, gifts, and sportswear are among the many items available. Faculty receive a 15% discount on merchandise except recommended or required textbooks, special orders, sale books, class and alumni rings, computer software and hardware, periodicals, discounted items, and health and beauty aids when they present their CougarCard. The UH Bookstore serves the campus from two locations: the University Center and Calhoun Lofts.

For additional information, visit the website at <http://uh.bkstore.com/>.

University Information Technology (UIT)

The University of Houston enhances the educational experience through information technology for classroom, online instruction, and related academic functions. The university's use of information technology also enhances research, administration, and outreach services. University Information Technology (UIT) provides support for many of the technologies used throughout the University of Houston System, including enterprise applications such as PeopleSoft and Blackboard, computer accounts, and multi-media equipment in general purpose classrooms.

Visit the University of Houston IT website at <http://www.uh.edu/infotech/about/> for updated news, support, and a comprehensive list of available services. The following are some of the many services available for faculty:

Accounts

UIT supports the following computing accounts:

CougarNet

CougarNet accounts allow users to create a roaming profile and access to file storage space on the university's network. The accounts are also needed to access campus resources via a Virtual Private Network (VPN) or the campus wireless network and various stand-alone data and application services.

Email

Central.uh.edu is a Microsoft Exchange email server used by faculty and staff email accounts. Secure access to exchange-based email accounts is available via the web at <http://exchange.uh.edu>. Instructions may be found at <http://www.uh.edu/infotech/email>.

Email Accounts on Mail.uh.edu

Mail.uh.edu is a server for students, faculty, and staff email accounts. The server has POP3 and IMAP services, allowing users to select the email client with which they are most comfortable. Secure access is available via the web at <http://mail.uh.edu>. Instructions may be found at <http://www.uh.edu/infotech/email>.

VNet

VNet is the internet service portal for the College of Natural Science and Mathematics. Designed to improve both the teaching and learning processes, VNet is open to faculty, staff and students. *For more information call 713-743-1618, email vnet@uh.edu or visit the website at <https://vnet.uh.edu>.*

WebCT and other course accounts

WebCT and other course accounts are computer accounts required for instruction and training. Accounts for course instruction expire at the end of each semester. For help with WebCT accounts, call 713-743-1411, or email support@uh.edu. UIT provides an account that provides access to organize and manage day-to-day information, from email and calendars to contacts and task lists. It can also be accessed using a web browser, such as Internet Explorer, Safari and Firefox. To access the Exchange mail server via the web, go to **email.uh.edu**. Instructions may be found at <http://www.uh.edu/infotech/email>.

Web Server

Web Server accounts are available to UH departments, organizations, and individuals to access to the UH central web server to publish information and provide services via the internet. Account owners can request usage (server log) reports to view the statistics for their sites.

For more information please contact UIT Accounts at 713-743-1411 or <http://www.uh.edu/infotech/accounts>.

Classroom Technologies

Faculty and students (through their professor) may reserve equipment by calling Classroom Technologies at the phone number and email address listed above or through the online equipment request form at <http://www.uh.edu/classrooms/equip>. Reserved equipment may be picked up at the UIT Support Center Service Counter in Room 116 of Philip Guthrie Hoffman Hall (PGH) or delivered to and picked up from the classroom.

For more information, call 713-743-1155, email: mdist@uh.edu or visit the website at <http://www.uh.edu/infotech/classroomsupport>.

Computer Labs

The Technology Commons is the premier student computer lab on campus, located in 58 M.D. Anderson Library. The lab is open 24 hours a day, 7 days a week with over 150 Mac OS X and Windows computer workstations set up for writing, printing and scanning documents, and Internet research.

For more information, call 713-743-1570, email tech-comm@uh.edu or visit the website at <http://www.uh.edu/infotech/computerlabs>

E-Communications Center

UIT E-Communications Center (E-comm) provides support for distributing official campus communications via email and SMS/text messaging technologies. E-comm verifies the data integrity of the contact lists used for electronic communications used to reach UH faculty, staff and students. The team also manages the UH Emergency web sites, SharePoint services for the campus intranet, and LDAP directory services.

For more information, call 713-743-1500 or email ecomm@uh.edu.

Get Help

GetHelp at <http://www.uh.edu/gethelp> is UH's web-based Frequently Asked Questions (FAQ) system designed to provide quick answers to common questions. Students, faculty and staff can ask computing and non-computing questions. Response time is usually within 24 hours.

Hardware

IT has partnered with the UH Purchasing Department to provide the Purchasing site, enabling the UH community to purchase hardware and efficiently. Both custom and standardized pre-configured systems are available at discounted prices.

For more information, call 713-743-1145, email hardware@uh.edu or visit the website at <http://www.uh.edu/purchasing>.

Instructor-Led Training Courses

IT offers free non-credit computer courses for UH students, faculty, and staff year round that vary in length from two to four hours. Topics include computer-based presentations, databases and reporting, desktop publishing, email and calendaring, operating systems (Windows and Unix), spreadsheets, web development, and word processing.

For more information, call 713-743-1564, email ittraining@uh.edu or visit the website at <http://www.uh.edu/ittraining>.

IT Security

The UIT Security website includes links to policies and guidelines for general computing, user responsibilities and cyber security. Also available on the website are awareness videos, security best practices, software and contact information.

The Office of the Chancellor and President, the Office of the General Counsel, Human Resources and the University Information Technology departments have established online Information Security Awareness Training (ISAT) for all University of Houston System employees. Information Security Awareness Training is required of all Texas state employees for compliance with the Texas Administrative Code, Title 1, TAC 202.

University of Houston personnel can report information security incidents to UIT Security by calling 832-842-4695 or emailing at security@uh.edu. UIT Security personnel are available 24/7/365 to respond to reported incidents. Incidents can also be reported anonymously at <http://www.mysafecampus.com>.

For more information, email security@uh.edu or visit the website at <http://www.uh.edu/infotech/security>.

IT Support Center Help Desk

The Help Desk provides live phone and email support on computing and related issues. During the academic year, the Help Desk is open 24 hours a day, 7 days a week, except university holidays.

For more information, call 713-743-1411, email support@uh.edu or visit the Live Chat website at <http://www.uh.edu/infotech>.

IT Support Center Service Counter

Located in Room 116 of Philip Guthrie Hoffman Hall (PGH), the ITSC Service Counter provides walk-up customer service for computer support, audio/visual services, and software sales. Hours of operation are Monday through Friday, 8 a.m. to 8 p.m.

Mailing Lists (LISTSERV)

The university hosts electronic mailing lists for use by academic groups and organizations. All mailing lists have to be “owned” by a faculty or staff member even if they are for student use. A directory of university mailing list addresses may be found at listserv.uh.edu. Faculty may also subscribe to IT-managed mailing lists at <http://www.uh.edu/itnews>.

For more information, call 713-743-1500, email ecomm@uh.edu or visit the website at http://www.uh.edu/infotech/php/template.php?maillist_id=13.

Network Operations

Network Operations provides the campus with voice, data, and video services. A Product Guide containing network and computing products, service descriptions and their related costs is available on the Online Work Request website. Products and services include telephones, voice mail, wireless communication devices, electronic fax services, and conference calls.

For more information, visit the website at <http://www.uh.edu/infotech/security> or fill out an online work request at <http://www.cts.uh.edu/wo>.

Online Directory Services

The online directory contains on-campus information about UH students, faculty, and staff; office phone number, email addresses, location, and job title, as found in the PeopleSoft database.

To update personal on-campus information, log into the People Advantage Self-Service (PASS) system at my.uh.edu/pass. From the “Personal Information” menu on the left side of the page, an individual may update email addresses, work addresses, and phone numbers. Please allow 24 hours for updated information to appear in the directory.

For more information, call 713-743-1500 or visit the website at <http://www.uh.edu/directory>.

Printer Kiosks

University Information Technology (UIT) is conducting a pilot project deploying two printer kiosks designed for on-the-go students needing to quickly grab a print job from their laptops or home computers where printer access is limited or unavailable. Current locations include the basement of the MD Anderson Library, in the lobby of the Technology Commons

computer lab and in the second floor lounge area of the Graduate College of Social Work, immediately to the left after exiting the elevator.

For more information, call 713-743-1570, email: techcommons@uh.edu or visit the website at <http://www.uh.edu/infotech/printerkiosks>.

PeopleSoft (myUH)

The myUH (PeopleSoft) accounts provide faculty and students access to a number of course-related activities that includes managing courses, seeing grades, making payments, and viewing academic records.

For more information, call 713-743-1010 or visit the website at <https://myuh.edu>.

Research

High performance computational and networking resources are available to the university research community. Computational services are provided by the Research Computing Center (RCC). The RCC is managed by IT's High Performance Computing Group (IT HPC). IT HPC provides a range of services from system hosting to complete system administration services. Among the networking resources available to the university research community are the Research and Education Network of Houston (RENoH), the Lonestar Education and Research Network (LEARN), and the National Lambda Rail (NLR). The university also has connectivity to Internet2 through the South East Texas GigaPOP (SETG) organization.

For more information, visit the website at <http://rcc.uh.edu>.

SkillPort eLearning

SkillPort eLearning provides web-based, self-paced courses at no cost to UH students, faculty, staff, and alumni in good standing. Over 2,500 courses covering both business and technology skills are available, as along with online access to more than 7,500 unabridged business and IT books and mentoring. Subjects include communications, customer service, finance and accounting, leadership, management, marketing, team building, and technology among others.

For more information, call 713-743-1564, email ittraining@uh.edu or visit the website at <http://www.uh.edu/ittraining/elearning>.

Software

The Software website contains information about site licenses and software available at institutional prices for university purchase via P-Card or Voucher, and individual purchases at discounted prices.

For more information, call 713-743-1411, email software@uh.edu or visit the website at <http://www.uh.edu/software>.

Support

In addition to previously listed support services, the following store fronts provide walk-up customer service for computer support only and can be found at four convenient locations: M. D. Anderson Library, First Floor, Across from the Circulation Desk (Support available during library hours only); Moody Towers, Basement, Monday through Friday, 8 a.m. to 5 p.m.; Room 202 Science and Research I (SRI), Monday through Friday, 8 a.m. to 8 p.m.; and

the Technology Commons, Room 58 M.D. Anderson Library (entrance is on the east side of the library) open 24 hours a day, 7 days a week, except university holidays.

UIT News Mailing Lists

UIT also offers customers the ability to subscribe to mailing lists, providing timely notification, emergency announcements, and update of technology issues including virus, network, system, and wide-area network service interruptions. To subscribe, go to <http://www.uh.edu/itnews>.

Publications

The Office of University Marketing is responsible for:

- A. Development and implementation of university-wide graphic and editorial standards;
- B. Implementation of the University of Houston stationery system and development of exceptions.
- C. Approval of key publications (see below).

Publications Approval

The image of the University of Houston is determined in part by the messages conveyed to the community through the university's various publications. It is important that these messages be consistent, clearly identify the university, and emphasize the quality of the colleges and departments on this campus.

To ensure this consistency, the following kinds of publications must be approved by the Office of University Marketing before printing:

- A. Undergraduate, graduate, and professional recruitment publications
- B. General institutional image publications
- C. Any publication with an external audience, and
- D. All non-standard or special case stationery.

To submit a publication for approval, send final copy and a design schematic to the Office of University Marketing. Please allow five working days for the publications review. Copy will be reviewed for the following information:

- A. Correct use of university name
- B. Correct university address
- C. University profile information where appropriate
- D. Correct listing of Regents and administrative officers
- E. Correct academic calendar
- F. Equal Opportunity/Affirmative Action statement
- G. University of Houston System statement
- H. Grammatical propriety

I. Consistency with university-wide editorial standards

Design will be reviewed for the following:

- A. Correct use of university logo
- B. Correct use of university seal
- C. Appropriate identification of the university
- D. Legible typeface and format
- E. Appropriate use of color
- F. Design consistent with university image

The Office of University Marketing can provide suggested university profiles of varying lengths and accepted wording of formulaic, legally required copy such as the Equal Opportunity statement or the UH System statement. Use of the University of Houston name, seal, and logo should follow established guidelines. See "University Names and Indicia," above *pages 161-162*.

For details, contact the Office of University Marketing, 713-743-8863, or visit the website at <http://www.uh.edu/about/offices/university-advancement/marketing/>.

The University of Houston has a standard stationery format for letterhead, envelopes, business cards, interoffice correspondence, and note pads. All college and department stationery must follow the standard format. Personal names may not be used on university stationery with the exception of business cards.

For additional information contact the Office of University Marketing, 713-743-8863, or visit the website at <http://www.uh.edu/about/offices/university-advancement/marketing/>.

Printing and Postal Services Department

Printing and Postal Services provides a total solution for all the printing and mailing needs of the campus community. All services from design to mailout are provided in-house. Free pickup and delivery is available for all jobs. Postage is charged through a university cost center via a Departmental Mail Card (DMC). Processing fees for print or postal are submitted on a service center (SC) voucher or paid for by check. The rates associated for all services are competitive with commercial print and mail houses.

For more information on Printing and Postal Services, call 713-743-5900, or visit their website at <http://www.uh.edu/postal/>.

Communication

The Office of University Communication is the university's external and internal public relations program. The office is the university's primary liaison with broadcast and print media and the community. Staff members cover the university on a beat system, working with faculty to publicize events and programs as well as developing story ideas for reporters and editors. Office staff also work with members of the media to understand and respond to their needs.

Internal Communications publishes *UH Campus New*, a quarterly newspaper for faculty and staff, and maintains the UH Today website. These publications and other distribution systems,

including e-mail and fax, promote internal communication by sharing information within the university community.

University Communication staff work for the university, not the media. Therefore, all written materials, such as press releases, are approved by the faculty member before release. The office also respects publication or presentation dates and will not release information prematurely.

Here are some tips to help faculty work with University Communication:

- A. Keep in touch with the office staff member assigned to the faculty member's unit.
- B. Inform University Communication about such newsworthy items as awards, grants, new work, special events, research progress reports, and future issues and trends.
- C. Allow as much time as possible for University Communication to work on a project. A minimum of two weeks is needed to complete the writing and clearance process. Beyond that, different media have different deadlines for receiving information.
- D. Faculty may join the expanding pool of experts by letting the office know his/her specific expertise. University Communication receives frequent requests for expert commentary from the media and community groups and maintains an *Experts Guide* online.
- E. Notify University Communication when contacted directly by the news media.
- F. When speaking to reporters, use the entire university name: University of Houston.

For media inquiry assistance, contact University Communication, 713-743-8155 or visit the website at <http://www.advancement.uh.edu/ur/communication/pages/extcmabt.htm>.

University Marketing

The Office of University Marketing assists the university with positioning the institution as a major urban research university through paid advertising as well as special publications, direct mail, and the University Website.

For more information about the UH ad campaign or other marketing activities, contact the Office of University Marketing at 713-743-8863, or visit the website at <http://www.uh.edu/about/offices/university-advancement/marketing/>.

Public Affairs

In addition to managing the offices of University Marketing and University Communication, the Office of Public Affairs operates UH OnCall from 8:00 a.m. to 6:00 p.m. Monday through Friday (713-743-CALL or 713-743-2255) with staff to answer all types of questions about university services and the Event Line (713-743-9999). The Event Line is a 24-hour access recorded message listing campus events.

The Office of Public Affairs also oversees the University's Speakers Bureau to connect UH faculty with community groups for speaking opportunities. UH OnCall also serves as the clearing center for the UH Speakers Bureau.

For more information or to join the UH Speakers Bureau contact the Office of Public Affairs at 713-743-2255 or visit the website at <http://www.uh.edu/about/offices/university-advancement/> or <http://www.uh.edu/about/community/>.

Purchasing Department

The Purchasing Department is accountable to the Executive Vice President for Administration and Finance. The Purchasing Department is the only department, with exceptions noted in the Manual of Administrative Policies and Procedures (MAPP), authorized to make commitments against University of Houston cost centers for the procurement of supplies and equipment. It is charged with the responsibility of conducting the purchasing function in a manner that will result in the greatest good for the university in conformance with established ethical practices. The specific responsibilities of the Purchasing Department are to help departments purchase exactly what they need at the lowest price (i.e., find the best value) while fully utilizing historically underutilized businesses (HUBs) whenever possible. Purchasing will also expedite delivery of urgently needed goods and services, refer information about new and improved products to departments as required, advise departments of the most appropriate sources of supply for various items, provide a central contact point for all vendors, serve as the liaison between university departments and outside vendors, and ensure that all purchases conform to university procedures and to applicable state and federal laws and regulations.

Procurement related questions should be directed to the business officer within the college or division, the Director of Purchasing, or the Manual of Administrative Policies and Procedures or visit the Department of Purchasing website at <http://www.uh.edu/purchasing/>.

Facilities

Arts

Blaffer Art Museum at the University of Houston

Located in the Fine Arts Building, Blaffer is a contemporary art museum dedicated to fostering careers and understanding of emerging, mid-career and underrepresented artists and bodies of work through exhibitions, publications, and public programs. Blaffer's myriad educational programs include public lectures, artist's talks, docent tours, audio guides, and youth programs such as Studio Saturday, Summer Arts and the award-winning Young Artist Apprenticeship Program.

For more information call: 713-743-9521 or visit the museum online at <http://www.blafferartmuseum.org>.

Cullen Performance Hall

Cullen Performance Hall was completed in October of 1950. With a major renovation in 1987 and an interior renovation in 2002, the Hall has remained a centerpiece of campus life. Cullen Performance Hall provides a venue in which other academic departments and registered student organizations may produce events which will augment and enhance their programs. The facility is an essential site of campus and community cultural and performing arts events. Cullen Performance Hall also serves the city's arts community by providing a venue for the artistic and cultural exchange of ideas and information. It has ongoing relationships with community based organizations such as the Arts Institute of Houston, the Chinese Civic Center, Ballet Forte, and various other local and national dance, theater, and musical ensembles.

For more information call: Cullen Performance Hall, 713-743-5186, or visit the website at <http://www.uh.edu/cph/>.

Cynthia Woods Mitchell Center for the Arts

The Cynthia Woods Mitchell Center for the Arts houses the Lyndall Finley Wortham Theatre, the intimate Jose Quintero Lab Theatre, costume and scene shops, rehearsal spaces, and offices.

Dudley Recital Hall

Dudley Recital Hall, room 132 in the Fine Arts Building, is a 300-seat auditorium operated by the Moores School of Music, which offers more than 200 recitals each year featuring faculty, students, and guest performers.

For more information call: Dudley Recital Hall, 713-743-3009.

Moores Opera House

The acoustically superb Moores Opera House has the largest public installation by abstract painter Frank Stella and hosts numerous public concerts.

For more information call: Moores School of Music, 713-743-3009 or visit the website at <http://www.music.uh.edu/>.

KUHF-FM and KUHT-TV

KUHF-FM, Houston Public Radio (88.7 FM) is located at the University of Houston LeRoy and Lucile Melcher Center for Public Broadcasting. KUHF is a fully professional public radio station affiliated with National Public Radio, American Public Media and Public Radio International. KUHF is the radio voice of both the Houston Symphony and the Houston Grand Opera.

KUHT-TV, the first public television station in the United States, serves Houston and the surrounding area. The station has a professional staff but uses volunteers in a variety of technical and production support positions.

For more information call: KUHF, 713-743-0887, or visit the website at <http://www.kuhf.org/>.

For more information call: KUHT, 713-748-8888, or visit the website at <http://www.houstonpbs.org/>.

Campus Recreation

Campus Recreation, a department within the Division of Student Affairs, coordinates recreational sports programs and for the University community. More than 4,000 students, alumni, faculty, staff, and guests participate daily in one or more of the various activities offered at the Campus Recreation and Wellness Center (CRWC). It is the primary goal of Campus Recreation to provide quality leisure time activities that engage all participants from the casual beginner to the highly skilled competitor. Through participation, individuals gain a full appreciation of the physiological, psychological and social values of recreation and a better sense of their own ability to function productively in both a cooperative and competitive environment.

Details on membership rates, facility hours, and more are available online at <http://www.uh.edu/recreation>.

Sports Facilities

Athletics/Alumni Center

The University of Houston Athletics/Alumni Center, located on Cullen Boulevard between Holman Street and Elgin Boulevard opened May 1995. Funds to build the \$29.1 million, 220,000-square-foot facility were donated by alumni John and Rebecca Moores.

The AAC is home to UH volleyball, indoor track, as well as the athletic department staff and coaches' offices, training room, strength and conditioning facility, and equipment.

For more information on the Athletics/Alumni Center or for rental information, call 713-743-9000 or visit the website at http://www.uh.edu/campus_map/buildings/AAF.html.

Robertson Stadium

Recently renovated and expanded, Corbin J. Robertson Stadium, which includes the John O'Quinn Field, is an open-air, 32,000-seat facility that hosts Cougar football, Cougar Women's Soccer, international soccer matches, and other various events.

Hofheinz Pavilion

Home of the Cougar Men's and Women's Basketball teams, Hofheinz Pavilion seats 8,479 fans. The pavilion also houses racquetball and handball courts and is used for intramurals and recreation programs. It is part of an athletics complex that houses two gymnasiums, an indoor pool, weight rooms, and locker rooms. In addition to hosting athletics events, the structure is used for graduations and other university activities, concerts, and other cultural and community events.

Cougar Field

A scaled version of a major league park, Cougar Field has a seating capacity of 2,500. The stadium houses locker rooms, offices for the coaches, a batting cage and training area. Located on the upper deck behind home plate is the press box, which features booths for radio and television and a 28-seat working press area for writers. There is also a PA system and scoreboard.

For more information on these facilities contact the Athletics Business Office at 713-743-9516. For tickets to UH sports events, call 713-743-9444.

Accommodations, Food Services and Catering

Hilton University of Houston Hotel

This 86-room on-campus hotel accommodates university guests, parents, and friends as well as private sector customers. Eric's Restaurant is open daily and offers breakfast, lunch, and dinner. The conference center offers more than 30,000 square feet of flexible meeting space which is available for academic functions, general meetings or banquets. Public parking is available under the hotel. The entire hotel recently went through a \$13 million renovation. The hotel has a professional staff and serves as a laboratory of the Conrad N. Hilton College of Hotel and Restaurant Management, in addition to serving the public.

For room reservations call: 713-741-2447. For conference information call: 713-743-2500. For breakfast, lunch or dinner reservations for Eric's Restaurant call 713-743-2515. For reservations for Barron's (a student-run restaurant now serving lunch only) call 713-743-2558 or visit the website at <http://www.hrm.uh.edu/STUDENT-LIFE/Student-Hangouts/Barrons-Restaurant/>. For Cougar Grounds (a student-run coffee house) call 713-743-2882 or visit the website at <http://www.hrm.uh.edu/STUDENT-LIFE/Student-Hangouts/Cougar-Grounds/>.

Dining Services

There are a variety of venues for dining on campus, including unlimited buffet dining halls or retail chain restaurants. For details and locations, please visit the University of Houston Dining website at <http://www.campusdish.com/en-US/CSSW/UnivofHouston/>. UH Dining Services Office is located in Suite 102 of Calhoun Lofts, 832-842-5989, Catering: 832-842-5998 or e-mail: uhdining@uh.edu.

Meal plans are available to faculty and staff by contacting Auxiliary Services at <http://www.uh.edu/auxiliaryservices>. Catering on Cullen is the on-campus catering service for formal or casual events.

For more information call 832-842-5998, email uhcatering@uh.edu, or visit the website at <http://www.campusdish.com/en-US/CSSW/UnivofHouston/Catering>.

Faculty Handbook

Guidelines for Revision

- A. The *Faculty Handbook* must be reviewed for revision at least every two years.
- B. No later than the beginning of the Fall semester of even numbered years the Provost shall direct the President of the Faculty Senate to initiate the review process.
- C. Pursuant to the directive from the Provost, the Faculty Senate President shall form a Faculty Handbook Revision Committee to solicit proposed revisions from the Senate committees and the councils, the Council of Deans, and members of the Cabinet of the Chancellor/President. The Revision Committee shall include a representative from the Office of the General Counsel, the Office of the Provost, the Ombudsperson, and at least two Faculty Senate members
- D. If the primary review finds that no changes are necessary, notification to the Faculty Senate President will satisfy the review requirement.
- E. If the Revision Committee determines that changes may be necessary, it shall forward those suggestions to the University Coordinating Commission or other relevant body to consider those and other possible revisions.
- F. The Revision Committee shall refrain as much as possible from stylistic changes and will detail its suggested policy changes in its submission of recommendations. The Faculty Senate Executive Committee shall review all changes and resolve problems by sending the changes back to the reviewing body for further consideration, by submitting the matter to the full Senate, or by its own determination.
- G. Upon completion of the review the *Faculty Handbook* with the proposed changes clearly indicated will be forwarded for review to the General Counsel and then for approval to the Provost and the Chancellor/President. If the recommendations are accepted, then the Provost will so notify the Faculty Senate offices. The General Counsel or Provost shall return the recommendations to the Faculty Senate Offices if the recommendations are declined. The President of the Senate will then notify the Revision Committee to determine further action.
- H. At the beginning of each academic year the Faculty Senate Offices shall generate four copies of the complete *Faculty Handbook*: one for the office of the General Counsel, one each for the University Library and Archive, and one to be maintained in the Faculty Senate Offices. Normal access to the *Faculty Handbook* shall be through the *Faculty Handbook* website.

Timeline: Suggested revisions by the primary review committee should be completed prior to May 31 of an odd-numbered year with a publication date of not later than August 1

- I. Nothing in this procedure shall preclude faculty governance bodies in their ordinary course of activities from considering changes in the *Faculty Handbook* in matters that pertain to their jurisdiction. These procedures only detail that mandatory review of the *Faculty Handbook* that takes place periodically.

Faculty Handbook Committee, 2011 Edition

Suzanne Ferimer (Co-Chair)	<i>2011 Member of the Faculty Senate Faculty Governance Committee</i>
Katy Greenwood (Co-Chair)	<i>2011 Member of the Faculty Senate Faculty Governance Committee</i>
Dona Cornell	<i>UH System Vice Chancellor and UH Vice President for Legal Affairs and General Counsel</i>
Agnes DeFranco	<i>Associate Vice President for Undergraduate Studies</i>
Teri Longacre	<i>UH Ombudsperson</i>
Miranda Bennett	2010-2011 Secretary of the Faculty Senate

NOTICE:

If any part of this Handbook is found to be difficult to use, unclear, misplaced, or inadequate in any way or to make suggestions for information to be included in future editions, please submit comments in writing to the Faculty Senate office: mail code, FS-2005; FAX, 713-743-9184; e-mail, FSenate@central.uh.edu. They will be used to improve the next edition.

Appendix A

Faculty Senate Constitution (from page 32)

(Adopted May 1961, and amended Dec. 6, 1961; Jan. 10, March 21, 1962; Dec. 16, 1964; Jan 13, April 14, Sept. 22, Nov. 17, 1965; Feb. 16, 1966; April 16, Sept. 24, 1969; April 16, 1975; Nov. 17, 1976; Nov. 16, 1977; April 19, 1978; Dec. 12, 1979; June 6, 1980; Nov. 18, 1981; reviewed Oct. 3, 1983; amended Feb. 19, 1986; Sept. 16, 1987; Jan. 18, 1989; August 28, 1991; May 13, 1992; December 14, 1994; January 25, 1995; March 29, 1995; May 7, 1997; Dec. 9, 1998; April 21, 1999; April 18, 2001; April 16, 2003; Sept. 1, 2004; December 8, 2004; March 25, 2009; April 21, 2010; April 20, 2011; and December 14, 2011.)

The members of the faculty at the University of Houston established this constitution to provide an instrument for cooperative action in attaining such ends as the members may select.

Preamble

Principles. Shared governance is the collective commitment of the faculty and administration at the University of Houston to work cooperatively, together with other University constituencies, to achieve a common vision of excellence for the University. Successful shared governance requires an active partnership at all levels of the enterprise, from individual programs to the overall University, to provide a basis for joint participation in setting priorities and formulating policy. Effective implementation of shared governance depends on mutual trust, shared confidence, and on-going communication between faculty and administrators, informed by an appreciation of their interdependent roles and responsibilities.

Faculty Role in Shared Governance. The faculty provides the excellence in teaching and research that determines the quality and reputation of the University. The faculty has a major role in devising academic policies, establishing performance standards, and in protecting academic freedom. Therefore, the faculty has the primary responsibility for curricular matters and degree programs. Recommendations about appointments, retention, and post-tenure review are a central faculty responsibility. The faculty has significant input in the formulation of budget priorities, including compensation policies. The faculty has a major role in the selection and review of administrators at all levels of the University. The faculty assists in setting goals to improve the quality of campus life, the surrounding community and the national academic standing of the institution.

Article One--Membership

Section One--The Faculty Senate shall consist of 110 voting members elected by the faculty in the manner provided below. In any year, if the president's or the immediate past president's term as senator shall have expired, that person shall be designated senator-at-large and the total membership shall be 111 or 112 during which time the apportionment of senators shall not be affected.

Section Two--University of Houston faculty members who meet the eligibility criteria described in the bylaws may serve as members of the Faculty Senate, except those with the administrative rank of Dean or above.

Section Three--The unit by which representation shall be determined is the college, and not subdivisions thereof. Allocation of Senate seats by college is based upon proportion of total FTEs of eligible faculty across all colleges. For this purpose the following units are deemed to be colleges: Architecture, Business, Education, Engineering, Graduate School of Social Work, Honors, Hotel and Restaurant Management, Law Center, Liberal Arts and Social Sciences, Library, Natural Sciences and Mathematics, Optometry, Pharmacy, and Technology.

Membership of Undergraduate and Research and Scholarship Standing Committees are described below in the bylaws.

Members of a college who are eligible for Faculty Senate membership are eligible to vote in elections for senatorial positions. Elections must be by secret ballot.

Section Four--The Senate shall reapportion itself immediately before the 2011 unification, and each fourth year thereafter. Reapportionment shall be made in the proportion which the number of eligible faculty in the said colleges bears to the total number of the eligible faculty in the said colleges, but each college shall be entitled to at least one member. Librarians are counted in the same manner as other faculty.

If a new college is established, the Senate shall make provision for its representation at the next following election by one senator. If a college is discontinued, it shall cease to be represented. If a college is divided, its representatives shall be divided among the newly created colleges. If two colleges are merged, the successor college shall have the same representation as was previously held by the two separate entities. The apportionment of senators shall not be affected by the creation, division, merger, or termination of colleges until the next apportionment provided for in this article.

Section Five--Elections to the Senate shall be for a term of three years. In the event of a vacancy, a special election shall be held to fill the unexpired term.

Section Six--Regular elections for a Senate seat shall be held a minimum of three months prior to the start of the new term. The Faculty Governance Committee will run each college election and shall certify the results of such elections to the secretary of the Faculty Senate.

Special elections to fill unexpired Senate terms shall be held within 60 days after a senator has resigned. The months of June, July, and August shall not be used in computing the 60-day period. Unexpired terms exceeding three months may be filled only by election. Unexpired terms of less than three months may be filled temporarily by an individual appointed by either the dean of the college or a college governance organization, at the end of which time a successor will be elected.

So as to avoid prolonged lapses in representation, a senator who goes on leave and is absent from academic duties, or is for any other reason away from the university, for a period exceeding the summer plus one long (i.e. Fall or Spring) semester shall relinquish his/her senatorial position and a special election shall be held to select a replacement. When the absence does not exceed the summer plus one long semester, the senatorial position may, and for periods of more than two months should, be filled temporarily by an individual appointed by either the dean of the college or a college governance organization.

Section Seven--Members of the Senate shall be eligible for reelection.

Section Eight--If a college loses a seat due to reapportionment, it shall be the one with the shortest term of office still remaining. In order that one-third of the Senate seats, or the nearest fraction thereto, are subject to election each year, terms of less than three years may be utilized as part of a reapportionment.

Section Nine -- In order to promote effective representation for all colleges, members shall be regular in their attendance at meetings of the Faculty Senate. Members who are not actively participating in the business of the Senate or its committees during their term may be removed from the Senate at the discretion of the Executive Committee. The exception is noted in Section Six of Article One.

Article Two--Officers

Section One--The Senate shall have a president, a president-elect, and a secretary. The duties of these officers may be provided for in the bylaws. The bylaws may provide for other officers.

Section Two--One or more deputies may be appointed by the secretary of the Faculty Senate to assist in the discharge of the duties as secretary of the Senate. Such deputies need not be members of the Senate or the faculty.

Section Three--If the Office of the President becomes vacant, the president-elect shall become president. If the office of president-elect or secretary becomes vacant, a new election shall be held to determine the successor.

Article Three--Executive Committee

Section One--The Executive Committee shall consist of the president-elect, the president, the immediate past-president, and the secretary of the Faculty Senate, two members elected by the Senate, the chair of the Faculty Governance Committee, and the chairs of Senate standing committees. The president of the Faculty Senate shall act as presiding officer of the Executive Committee, and the secretary of the Faculty Senate shall act as the secretary of the Executive Committee. Members of the Executive Committee shall serve one-year terms.

To coordinate the efforts of the shared governance structure and increase its effectiveness, the Executive Committee shall invite the chairs of the Graduate and Professional Studies Council and the Staff Council to serve on it as non-voting ex-officio members.

Section Two--The Executive Committee shall direct the activities of the Faculty Senate. The president of the Senate shall appoint committees with the advice and consent of the Executive Committee. The Executive Committee shall prepare the agenda for the meeting of the Senate and shall propose to the Senate appropriate committee structure and other devices to carry out the business of the Senate.

Section Three--The Faculty Senate may at its discretion, by a majority of those present and voting, empower the Executive Committee or any other committee of the Senate, to act for it in any particular matter, or any well-defined class of matters. Such power may be rescinded at any time.

Section Four--The president of the Faculty Senate shall be responsible for communicating the actions of the Senate to the appropriate administrative authorities of the university. Prior to such communication, however, the Executive Committee shall be empowered to refer back to the Senate any action for further consideration at the next or subsequent meeting as the Senate may determine provided the same matter shall not be referred back hereunder a second time.

The president of the Faculty Senate shall be responsible for making a report on the activities of the Executive Committee at Faculty Senate meetings.

Section Five--If an at-large member of the Senate Executive Committee resigns, the Executive Committee may fill the vacancy by the appointment of a member of the Faculty Senate.

Section Six--In the spirit of shared governance and to increase its effectiveness, the Executive Committee shall meet with the Chancellor/President, the Senior Vice Chancellor/Senior Vice President for Academic Affairs and Provost, the Executive Vice Chancellor/Executive Vice President for Administration and Finance, and other senior administrators on a regular basis. The Executive Committee shall prepare the agenda for these meetings.

Article Four--Faculty Governance Committee

Section One--The Faculty Governance Committee shall consist of the president of the Senate, the president-elect of the Senate, the immediate past-president of the Senate, and twelve members elected by the Senate. No more than two members of the committee, excluding the ex officio members, shall

come from any one college. The immediate past-president will serve as chair of the committee. If the immediate past-president is unwilling or unable to serve, the Senate shall elect an additional member to the committee, and the committee members will select their own chair from among the elected members of the committee. If a member of the committee resigns, the Senate Executive Committee may fill the vacancy by appointment of a member of the Faculty Senate.

Section Two—The committee is charged with the responsibility of regularly reviewing faculty governance within the University and making recommendations on improvements when needed. The committee will also oversee the updating of the *Faculty Handbook*,

Section Three—No later than June 1 of each year, the Senate shall have completed the appointment of faculty members to the University standing committees and shall forward the names of appointees to the appropriate administrators.

Section Four--The committee shall notify the Senate of nominations of faculty members to serve on committees or similar groups other than University standing committees. The committee shall nominate to the spring Assembly of the Faculty names for positions to be filled on the Faculty Grievance Committee. (For composition of membership, see Bylaw Seven.) Additional nominations may be made from the floor at the spring assembly. The committee shall promptly proceed to conduct a campus-wide election, and then to publicize the results. If a vacancy occurs on the Grievance Committee, the Faculty Governance Committee shall appoint a replacement for the portion of the term remaining until the next scheduled election.

Section Five--Except as provided elsewhere, the Faculty Governance Committee shall oversee the election of all Faculty Senate members and its officers. At the last regular meeting of the Senate in November, the committee shall present two nominations for the positions of president-elect and secretary, and four nominations for the two at-large positions on the executive committee. The committee shall also present fourteen nominees to fill the twelve elective positions on the Faculty Governance Committee. Following the presentation of the slate, the chair of the committee shall call for additional nominations to be made from the floor. Senators whose term of office is about to expire and who have not been re-elected to an additional term by October 31 are eligible for election to the Faculty Governance Committee, but not the other positions. The election shall take place via electronic balloting after completion of the slate and prior to the next regularly scheduled meeting of the Senate.

Article Five--Assembly of the Faculty

Section One--All eligible faculty members at the University of Houston shall be eligible to attend the Assembly of the Faculty.

Section Two--Assemblies of the Faculty shall be held at least once each fall and spring semester at the call of the president of the Faculty Senate. Additional meetings shall be called by the president of the Senate upon petition by five members of the Senate or 25 faculty members, or by action of the Executive Committee.

Section Three--One of the purposes of the Assemblies of the Faculty shall be to report to the faculty the actions of the Senate since the last Assembly of the Faculty. The Executive Committee of the Senate shall prepare the agenda for the Assembly of the Faculty. The agenda shall provide for the introduction of business at the meeting by any faculty member. The president of the Faculty Senate or the person discharging the duties of the president shall act as the chair of the Assembly of the Faculty. The secretary of the Faculty Senate shall act as secretary of the Assembly of the Faculty.

Section Four--The quorum for meetings of the Assembly of the Faculty shall consist of forty eligible faculty.

Article Six--Meetings and Voting

Section One--The Senate shall meet at least once a month during the regular nine-month school year.

Section Two--The first regular meeting will be held in January, after the beginning of the spring semester.

Section Three--Prior to the February meeting, the Executive Committee shall present a calendar of regular meetings for the remainder of the calendar year. The Executive Committee, with due notice, may either alter the calendar of regular meetings or call special meetings. Upon the written petition of at least 20 senators, a special meeting must be called.

Section Four--Forty percent of the members of the Senate shall constitute a quorum for the transaction of business.

Section Five--All meetings shall be conducted according to parliamentary laws as set forth in the latest edition of Roberts' Rules of Order, except where a contrary rule is provided by this constitution, or by the bylaws, or by any standing rules.

Section Six--Any faculty member may petition the Executive Committee to be permitted to address the Faculty Senate in regard to any matter within the Senate's competence. Such appearance shall be subject to limitations of time as provided by the Senate, but permission hereunder shall be granted as freely as the due conduct of the Senate's business shall permit.

Section Seven--Except where the constitution or bylaws provide otherwise, all elections and matters voted upon shall be determined by a majority of those voting.

Section Eight--Written or electronic ballots shall be used for elections. Other matters will be determined by a show of hands unless written ballots are requested by at least 10 members of the Senate.

Article Seven—Adopting or Amending Bylaws

Section One--The Senate may adopt or amend bylaws as follows:

(1) At a regular meeting of the Faculty Senate by a majority vote provided, however, that notice of such bylaw or amendment to a bylaw must have been given a reading in the exact form in which it is finally adopted at the previous regular meeting,

(2) If the proposed bylaw, having been read at the previous meeting, is amended by a majority vote of the Senate subsequent to its reading, it may be adopted by a two-thirds vote of those present, **or**

(3) By a written or electronic two-thirds vote of the total membership of the Senate.

Article Eight--Amending Process for the Constitution

Section One--This constitution may be amended only as follows:

(1) At a regular meeting of the Faculty Senate by a two-thirds vote of the members present provided, however, that notice of such amendment must have been given by a reading of the

amendment, in the exact form in which it is finally adopted, at the previous regular meetings,

(2) By a written or electronic two-thirds vote of the total membership of the Senate, or

(3) By a three-fourths vote of those members present at an Assembly of the Faculty provided, however, that notice of such amendment must have been given by a reading of the amendment, in the exact form in which it is finally adopted, at a meeting of the Assembly of the Faculty at least 30 days previously.

Bylaws

ONE -- An eligible faculty member is a full-time, tenured or tenure-track faculty member or a full-time Library faculty member or a full-time non-tenure track faculty member with at least three years of continuous service at the University of Houston. For the purposes of these Bylaws, a non-tenure track faculty member is defined as instructional, research, or clinical with the rank of Professor, Associate Professor, or Assistant Professor.

TWO -- Duties of officers shall be as follows:

Duties of President:

- Preside over all meetings of the Faculty Senate and the Assembly of the Faculty.
- Be an ex officio member of all standing and ad hoc committees of the Faculty Senate.
- Call special meetings when appropriate.
- Transmit to the appropriate administrative authorities of the University of Houston the recommendations and resolutions passed by the Faculty Senate.
- Advise the president and the senior vice president for academic affairs of the University of Houston on matters of general interest to the faculty.
- Transmit from the president and senior vice president information on matters of general interest to the faculty.
- Appoint the chairs of the following senate standing committees: Budget and Facilities; Community and Government Relations; Faculty Affairs; and Graduate Education and Policies.
- Be a voting ex officio member of the University Coordinating Commission.
- Be the representative of the faculty on the University President's Cabinet.
- Report on faculty interests to the University of Houston System Board of Regents at regular Board meetings.

Duties of President-Elect:

- Preside over all meetings of the Faculty Senate and the Assembly of the Faculty in the absence of the president.
- Be a voting ex officio member of all standing and ad hoc committees of the Faculty Senate, and act as liaison between these committees and the president.
- Further assist the president as the president may deem advisable.
- Coordinate with the secretary the communications of the Senate.
- Be a voting ex officio member of the University Coordinating Commission.
- Be a voting ex officio member of the University Commission on Women.

Duties of the Secretary:

- In consultation with the President, be responsible for all forms of communication emanating from the Faculty Senate.

- Keep a complete set of minutes for each meeting and prepare summary minutes of each regular or special meeting.
- Act as treasurer when necessary.
- Keep a roll of members present.

Duties of Immediate Past President:

- Serve as chair of the Faculty Governance Committee.
- Work with the new president in transferring effectively the responsibilities of the office.
- Further assist the president as the president may deem advisable.
- Be a voting ex officio member of the University Coordinating Commission.

THREE -- The Executive Committee shall act as the Credentials Committee to decide questions arising in connection with credentials of all members of the Senate.

FOUR -- Members of the Budget and Facilities Committee, Community and Government Relations Committee, Faculty Affairs Committee, and Graduate Education and Policies Committee who are senators shall be appointed from the membership of the Faculty Senate. The committees in consultation with the Executive Committee may appoint additional voting and non-voting members as needed based on required expertise.

The Budget and Facilities Committee shall conduct a continuing review of the University's financial resources, including the ways in which such resources are actually spent.

The Graduate Education and Policies Committee shall review and recommend policy concerning the substance and presentation of graduate education, including review of the operations of the appropriate administrative offices with respect to the implementation of existing policy and the promulgation of policy changes

The Faculty Affairs Committee shall review and recommend policy concerning the conditions of faculty employment, review the operations of the appropriate administrative officials with respect to the implementation of existing policy and the promulgation of policy changes.

The Community and Government Relations Committee shall serve as the Faculty Senate liaison to the university community, external communities, and governmental entities.

The chair of the Budget and Facilities Committee shall be a member of the UH Faculty Advisory Committee on Purchasing and Plant Operations. The chair of the Faculty Affairs Committee or designee shall be a member of the UH Faculty Advisory Committee on Human Resources.

FIVE -- Members of the Research and Scholarship Committee and the Undergraduate Committee shall be elected to their respective committees as senators by the eligible faculty within their college. The committees in consultation with the Executive Committee may appoint additional voting and non-voting members as needed based on required expertise. The chairs of the Research and Scholarship Committee and Undergraduate Committee shall be senators and shall be elected by the Senate members of the respective committee.

In order to be eligible for nomination for election to the Research and Scholarship Committee, the faculty member must satisfy the following criteria:

- A) the faculty member must have an ongoing, focused research agenda as evidenced by refereed scholarly articles, grant writing, research presentations or other scholarly research output deemed in their discipline as appropriate to a faculty member actively engaged in the research endeavor of a nationally recognized research university. Such scholarly output must satisfy the expectations of the individual college from which the faculty member is nominated.

- B) the faculty member must be actively involved in either graduate or undergraduate research programs administered within their own academic unit.

One position on the Research and Scholarship Committee must be reserved for an eligible faculty member who holds the formal rank of research faculty. Nominations for this position should be directed to the Faculty Governance Committee from individual colleges. This member will be elected by all eligible research faculty.

The Research and Scholarship Committee shall work to advise and make recommendations to the Vice President for Research and Technology Transfer on the matters pertaining to research development, policies relating to the conduct of research and related research activities at the University. The Research and Scholarship Committee administers the Internal Grants Program, including restructuring the program each year in light of available resources, preparing and issuing the call for proposals, coordinating review of proposals, and making recommendations on the allocation of the funds. The Committee also administers the Research Excellence Award, including establishing guidelines, issuing request for nominations, and overseeing the activity of the selection committee that makes recommendations of awards.

In order to be eligible for nomination for election to the Undergraduate Committee, the faculty member must satisfy the following criteria:

- A) must have taught at least one undergraduate class in two of the three years preceding nomination
- B) the faculty member must be actively involved in the undergraduate academic programs administered within their own academic unit.

The Undergraduate Committee shall work to advise the Provost on matters pertaining to the assessment and strengthening of undergraduate academic programs and curriculum offerings, setting of standards and priorities leading to academic excellence, monitoring of college and departmental requirements for baccalaureate degrees, stimulation and assessment of excellence in teaching, development and implementation of strategies for the recruitment and retention of undergraduate students, implementation of crucial recommendations from any university level study and its impact on the undergraduate students, refinement and monitoring of the admissions criteria and process, particularly for target populations, create and maintain more effective coordination and cooperation with student organizations, and any other matters pertaining to or having an impact on undergraduate education.

SIX -- Minutes for regular Faculty Senate meetings will be provided to each senator before the next regular meeting; copies will be available to others upon request from the Faculty Senate office. Minutes for special meetings will be prepared promptly and distributed in the same manner as the minutes of regular meetings.

SEVEN -- When the Senate is requested to nominate faculty members to serve on any committee or other body for which members are not nominated by the Faculty Governance Committee, the power to nominate rests with the president of the Senate. All nominations shall be promptly communicated by the president to the Executive Committee and the Faculty Governance Committee.

EIGHT -- The Faculty Grievance Committee has thirteen faculty representatives who are elected by the entire faculty to three-year terms of office, with approximately one-third of the membership being replaced each year. If a member resigns, a replacement is appointed by the Faculty Governance Committee to serve until the next annual election. Those then elected serve out the original term of office (see Article Four). The nominees should be broadly representative of the diversity in the

faculty and in the academic perspectives. No more than three members shall be from the same college when said college has 200 or more full-time, tenured or tenure-track faculty and no more than two members shall be from the same college when said college has fewer than 200 full-time tenured or tenure-track faculty. The Faculty Governance Committee shall nominate at least two candidates more than the vacancies. Recognizing the value of participation in the grievance process by members of each college, the Faculty Governance Committee shall work with due diligence to include a candidate from each college without a continuing member on the Grievance Committee. In consideration of the burdens of the committee, election to the Grievance Committee shall constitute a resignation from other university level committees unless the elected member otherwise specifically requests.

The members of the Grievance Committee must be full-time tenured faculty with the rank of associate professor or higher or senior associate librarians or higher. Members of the administration, including deans or directors, assistant or associate deans or directors, and department chairs, are not eligible to be members of the committee.

The University Grievance Committee exists as the final faculty body to which a faculty grievance may be submitted including a decision for nonrenewal of contract of a non-tenured faculty member if the appeal is based upon procedural issues including the allegation that adequate consideration of the individual's qualifications was not given or that considerations violative of the individual's academic freedom contributed significantly in the decision not to renew the contract.

NINE -- The president of the Faculty Senate, the president-elect of the Faculty Senate and the chairs of the Faculty Governance Committee, Research and Scholarship Committee, and Undergraduate Committee are members of the University Coordinating Commission (UCC) which shall operate to coordinate and expedite communication among faculty, staff, students, and the administration in the development of policies and procedures.

TEN -- The president and president-elect or their representatives shall serve as Senate representatives to the University Faculties Executive Council [UFEC]. Each representative shall serve until the end of the calendar year, or until replaced. A Senate representative may continue to serve even if the Senator's term of office has expired.

ELEVEN -- The Senate is a member of the Texas Council of Faculty Senates (TCoFS), a state-wide organization composed of state colleges and universities. The two representatives to TCoFS shall be the president and president-elect of the Senate.

TWELVE -- The Senate is a member of the Coalition on Intercollegiate Athletics. The delegate to, and an alternate for, the Coalition on Intercollegiate Athletics (CoIA) will be elected by the UH Faculty Senate for two-year terms. The elections will be held as necessary at the same meeting as the other officers each year. The delegate and alternate must be members of the Faculty Senate at the time of their election. In the event that neither can attend a meeting of CoIA, the Faculty Senate Executive Committee may appoint another Faculty Senate member as the UH representative for that meeting

In the event the Delegate resigns, the Alternate will become the Delegate and the Executive Committee shall appoint another Alternate. In the event the Alternate resigns, the Executive Committee shall appoint another Alternate. Appointees must be members of the Faculty Senate at the time of appointment.

The elected CoIA Delegate or Alternate shall be a voting ex officio member of the University of Houston Athletic Advisory Committee.

THIRTEEN -- In situations where there is the possibility of eliminating or drastically reducing academic departments or programs with the result that faculty might be terminated, the president of the Faculty Senate will appoint an ad hoc committee representing the academic interests of the campus. This committee will participate actively in deliberations and proceedings concerning possible reduction or elimination. Committee participation shall be timely and shall afford ample opportunity for the Faculty Senate to represent adequately its viewpoints prior to final decision.

Appendix B

Graduate and Professional Studies Council Bylaws (from *page 35*)

[**Note:** In the fall of 2010, the position of the Dean of Graduate and Professional Studies Council was eliminated. Revision of the Council's bylaws is pending.]

PURPOSE AND CHARGE

The Graduate and Professional Studies Council (GPSC) is the academic governance committee responsible for advising the Dean of Graduate and Professional Studies (hereafter referred to as “the Dean”) about the quality and uniform surveillance of graduate and professional programs at the University of Houston. It is also charged with recommending changes in existing policies or suggesting the need for new ones, and approving new courses, course changes and/or deletions to the Texas Higher Education Coordinating Board.

Specifically, the Graduate and Professional Studies Council will work with the Dean of Graduate and Professional Studies in advising the Provost and the President on matters relating to:

- A. The admission and selection of graduate and professional students; including international graduate students;
- B. The development and assessment of graduate and professional programs together with criteria for admission, standards of instruction, and standards for graduation aimed at excellence;
- C. The review of and advice on programs and courses in the graduate and professional curricula;
- D. Other matters identified by the Provost or of interest to the administration, the faculty, and graduate and professional students.

MEMBERSHIP

The Graduate and Professional Studies Council shall consist of members representing the faculty, student body, and academic administration of the University of Houston.

- A. The faculty shall be represented by:
 1. Two faculty members from each college selected according to their established procedures.
 - a. Membership shall be for three years beginning with the Fall semester. Approximately one-third of the council's faculty representatives shall be selected each year. In those colleges where the Chair of the College Graduate Studies Committee serves for a one-year term and who becomes automatically one of two college members elected to the Graduate and Professional Studies Council, an internal arrangement, acceptable to the college, would allow this Council member to finish his or her three-year term without discontinuity.
 - b. Members shall be eligible for re-election.
 2. One faculty member designated by the Faculty Senate to serve in a voting capacity.
 3. One faculty member from the college of the Chair of the Graduate and Professional Studies Council selected according to the college's established procedures to serve during the term of the Chair of the Council.

4. One faculty member from the Research Council to serve as a non-voting ex-officio capacity in alternate years beginning 1996-97. (One faculty member from the Graduate and Professional Studies Council will serve in a non-voting ex-officio capacity on Research Council in alternate years beginning 1995-96).
- B. The student body shall be represented by two graduate or professional students appointed by the Student's Association for terms of one year beginning with the Fall semester and who shall have voting privileges.
- C. The academic administration shall be represented by the Dean who shall serve in a non-voting ex-officio capacity.

OFFICERS

- A. The Council shall have a chair and a vice-chair who shall be members of the Council.
 1. These officers shall be members of the Council and shall be elected by the Council as a whole for a term of one year. The vice-chair serves the first year as Council chair-elect and the second year as Council chair. The duties of these officers are described below. During the last meeting of the Spring semester, the Council shall elect a new chair-elect from among those members of the Council who will be returning to the Council the following year. At the first meeting of the Fall semester, the chair of the Council is assumed by the vice-chair.

In the event that the chair or chair-elect's term as Council member shall expire, that person shall be designated as a Council member at-large. In this event, another Council member shall be appointed by the chair's college so that the apportionment of Council members by colleges shall not be affected.

For 2000-2001 only, Council members shall elect both the chair and the chair-elect at the last meeting of the Spring 2000 semester. The chair shall serve one year as chair. The vice-chair shall serve two years, the first year as vice-chair and the second year as chair. In successive years the chair-elect will be elected and serve as described in the preceding paragraph. No member shall be elected chair more than twice.

2. The duties of the chair are:
 - a. In consultation with the Council, to set dates for meetings of the Council
 - b. To set the agenda for the meetings of the Council;
 - c. To preside at all meetings of the Council;
 - d. To appoint the chairs and members of the standing committees of the Council;
 - e. To notify the Dean of the appropriate college of any member having extended or frequent absences from the Council meetings, and request assurance from that college that the member or appropriate replacement shall be present at future meetings;
 - f. To ensure that the approved minutes of the Council, including its actions, are transmitted to the Dean in a timely manner;
 - g. To submit to the Dean and Council members a list of all resolutions approved by the Council, by date, for the previous academic year.

- h. To appoint three faculty members to the ad hoc Graduate and Professional Studies Grievance Committee (GPSGC); to select the student member to serve on the GPSGC from a pool of graduate students provided by the colleges.
3. The chair may:
 - a. Call special meetings of the Council and set the agenda for those meetings.
 - b. Participate in the discussion of the Council at its meetings, unless prohibited from doing so by a vote of two-thirds of the members of the Council present and voting.
 - c. Vote during meetings of the Council.
 - d. With the approval of the Council, appoint the standing committees representatives of the faculty, student body, or administration who are not members of the Council, provided that a majority of each committee shall be composed of members of the Council.
 4. The duties of the vice-chair shall be to perform the duties of the chair during the chair's temporary absence.
- B. If the office of the chair becomes vacant, the vice-chair shall assume the duties of the chair, and the Council shall hold a new election to determine the vice-chair's successor. If the office of the vice-chair becomes vacant, the Council shall elect a new vice-chair.

COMMITTEES

A. Standing Committees.

The Council shall have four standing committees: Academic Program Evaluation, Course Evaluation and Review, Graduate Admissions and Student Affairs, and Graduate Policies. Most matters important to graduate education which come before the Graduate and Professional Studies Council will be reviewed and considered by one of these committees, as decided by the Chair of the Council, before being brought to the full Council for discussion and approval. The committees will submit a written report for advance distribution to Council members for discussion and consideration.

B. Ad Hoc Committees.

1. Committees charged with reviewing and studying proposals and/or formulating recommendations shall present a written report for advance distribution to Council members for discussion and consideration.
2. Committees dealing with specific college matters shall be composed of at least three members: one representative from the college initiating the request; and at least two other representatives, one of whom shall serve as chair of the committee.
3. The Graduate and Professional Students Grievance Committee (GPSGC) is administered by the Graduate and Professional Studies Council under the purview of the Dean of Graduate and Professional Studies. GPSGC may be formed on an ad hoc basis, by a request of a student, and in accordance with the "Grievance Policy for Graduate and Professional Students," to review all documents pertaining to a grievance, and to report its findings, the rationale for the findings, and its recommendations to the Dean.

MEETINGS

- A. The Council shall hold regular meetings at least four times each during the Fall and Spring semesters. The Chair shall announce, in writing, the dates of the meetings.
- B. Should need arise, the Council may hold special meetings upon the call from the Chair or the written petition of at least five members. The Chair or members who call the meeting shall notify the members of the Council when and where it is to be held at least one week in advance.
- C. Members who are unable to attend a meeting shall notify the Chair as soon as possible.
- D. At meetings of the Council, one-half of the membership shall constitute a quorum.
- E. All meetings shall be conducted according to the Robert's Rules of Order, Newly Revised, except where a contrary rule is provided by these Bylaws.
- F. Members shall be regular in their attendance at meetings of the Council. Members who are unable to attend a regularly scheduled meeting shall notify the Chair of the Council as soon as possible. Members who are absent from either three consecutive meetings of the Council or one-half the regularly scheduled meetings of the Council or its committees during a one-year period beginning with the first day of the Fall semester (as defined by the university class schedule) may be removed from the Council for excessive absences. An exception is that members who cannot attend any meetings of the Council for at least one semester, but less than two semesters, may be replaced for the period by and from the constituencies which the absent members represent.

ELECTIONS and VOTING

- A. All elections and matters voted upon shall be determined by a majority of those voting, except where these Bylaws provide otherwise. Upon the call of five or more members, the vote shall be by written ballot.
- B. There shall be no voting by proxy.
- C. Ex-officio members may participate in discussion but do not have voting privileges.

AMENDMENTS

- A. These Bylaws may be amended in two ways:
 - 1. At meetings of the Council by two-thirds vote of the members present, provided that written notice of the proposed amendment shall have been distributed to the members of the Council at least one week in advance.
 - 2. By a three-fourths mail-ballot vote of the entire membership of the Council. Members shall have at least two weeks to cast their votes.
- B. Unless otherwise specified, an amendment shall become effective immediately upon adoption.

Appendix C

[Note: The Undergraduate Council and Faculty Senate unified in the Spring of 2011. Bylaws revision is pending.]

Undergraduate Council Bylaws (from page 33)

Revised February 1987, June 1988, September 1988, May 1990, November 1990, May 1994, July 1994, March 1996, July 1999, May 2000, July 2000, August 2001, October 2007

MEMBERSHIP

- A. The Undergraduate Council shall consist of members representing the faculty, student body, and administration of the University of Houston.
 1. The faculty shall be represented by
 - a. One elected representative from a college for each 14,000 undergraduate semester credit hours or fraction thereof generated by the college based initially on official twelfth-day enrollment figures for the fall semester of 1978 and reapportioned on the basis of official fall enrollment figures every third year thereafter, except that the Honors College shall have one representative. The distribution of elected faculty representatives for the academic year shall be reported at the first regular meeting of the council each fall semester.
 - 1) Every faculty member of the University of Houston including chairs, directors, assistant deans, and associate deans, but excluding those with administrative rank of dean or above, shall be eligible for membership.
 - 2) Terms of membership shall be for three years beginning August 15, with approximately one-third of the terms expiring each year.
 - 3) Members shall be eligible for re-election.
 - b. A faculty member from the Honors College, below the rank of the dean, shall be elected annually.
 - c. The chair of the council.
 2. The student body shall be represented by three undergraduate students appointed by the appropriate college committee on an annual rotating basis according the following system of apportionment: 1 from the College of Liberal Arts and Social Sciences; 1 from C.T. Bauer College of Business or Natural Sciences and Mathematics; and 1 from Architecture, Engineering, Education, Hotel and Restaurant Management, Pharmacy, or Technology.
 3. The administration shall be represented by
 - a. The Provost's deputy primarily responsible for undergraduate studies (non-voting member);
 - b. The Executive Director of Admissions;
 - c. The Dean of Students;
 - d. The Assistant Vice President for Undergraduate Studies;
 - e. The Director of the Office of Registration and Academic Records;

B. Members shall be selected according to the following procedures:

1. After soliciting nominations from its faculty, each college shall elect its faculty representative no later than the end of the spring semester of the year in which the term of membership begins.
 - a. Each faculty representative from a college shall be elected either by a majority vote of the faculty members of the college's undergraduate committee, provided that those members of the committee are elected, or by a majority vote of all faculty members in the college eligible to vote in college elections and voting.
 - b. If a vacancy occurs between college elections, the undergraduate committee of the college or the dean, if there is no such committee, shall appoint a faculty member to represent the college until the next election, at which time a representative shall be elected to fill the remainder of the unexpired term.
 - c. The dean of each college shall notify the council in writing at once if a vacancy occurs or a new faculty representative is elected, reelected, or appointed.
2. The Student Government Association shall make its appointments no later than the end of the spring semester. Unless they are no longer undergraduate students at the University or have been removed from the council for excessive absences, members appointed by the Student Government Association shall continue to serve until their replacements are appointed.
3. Administrative members shall serve as long as they hold the offices that entitle them to membership on the council, unless removed from the council for excessive absences. They shall continue to serve until their replacements have been named or their office eliminated.
4. If questions arise, the council shall determine by majority vote whether procedures used to select members are valid and whether those selected to serve are eligible and qualified for membership. Those whose membership is in question shall not vote.

OFFICERS

A. The council shall have a chair and a vice-chair who shall be members of the council.

1. The chair shall be elected to a one-year term by the council from among its faculty members at the last regular meeting before final examinations in the spring semester and shall take office on August 15.
 - a. If the person who is elected chair has an unexpired term, the constituency that he or she represents shall select an interim representative to serve as a replacement for the chair while the chair is in office.
 - b. If the chair is elected or reelected at the end of a term, he or she will serve as an at-large member.
 - c. No member shall be elected chair for more than two consecutive terms.
2. The duties of the chair shall be to
 - a. Determine the dates of and set the agenda for all regular meetings of the council.

- b. Preside at all meetings of the council and its Executive Committee.
 - c. Appoint the chairs and members of all standing committees of the council no later than the first regular meeting of the fall semester.
 - d. Appoint the chair and members of *ad hoc* committees whenever necessary.
 - e. Serve as an *ex officio* member of all standing and *ad hoc* committees of the council.
 - f. Notify the council in writing of any member who has been absent from either three consecutive meetings of the council or half the meetings of the council during a one-year period beginning August 15, and with the consent of a majority of the remaining members of the council at the next regular meeting of the council, declare that member's position on the council to be vacant.
 - g. Report directly to the Provost in writing and in a timely manner all actions of the council sending copies of the report to departments, schools, and colleges concerned.
 - h. Submit, no later than August 31, a written summary report of the council's activities for the previous twelve-month period to the and Provost, President of the Faculty Senate, President of the Students Government Association, academic deans, and members of the council.
 - i. Represent the council on other University bodies as appropriate and report their activities to the council.
 - j. Appoint the vice-chair of the council with the consent of the majority of the members of the council.
3. The chair shall be entitled to
- a. Call special meetings of the council and set the agenda for those meetings.
 - b. Participate in the discussions of the council at its regular and special meetings, unless prohibited from doing so by a two-thirds vote of the members of the council present and voting.
 - c. Vote during meetings of the council when the vote is by written ballot and in all other cases where the vote would change the result.
 - d. Appoint to standing committees representatives of the faculty, student body, or administration who are not members of the council, provided that a majority of each committee shall be composed of members of the council.
 - e. Appoint to *ad hoc* committees representatives of the faculty, student body, or administration who are not members of the council, provided that a majority of each committee shall be composed of members of the council.
4. The vice-chair shall be appointed by the chair of the council from among its members with the consent of a majority of the members of the council present and voting at the first regular meeting of the fall semester.
- a. The vice-chair's term shall end on August 14.
 - b. So long as the vice-chair is a member of the council, he or she shall be eligible for reappointment.

5. The duties of the vice-chair shall be to
 - a. perform the duties of the chair during the chair's temporary absence.
 - b. report all changes in council membership to the council in a timely manner.
- B. If the office of chair becomes vacant, the council shall hold a new election to determine the successor. If the office of vice-chair becomes vacant, the chair shall appoint a successor with the consent of the majority of the members of the council present and voting at the next regular meeting of the council.

COMMITTEES

- A. The council shall have three standing committees, each chaired by a faculty member of the council: The Core Curriculum Committee, the Degree Programs Committee, and the Academic Policies and Procedures Committee.
 1. Each standing committee shall perform such duties as may be required by the council or its chair.
 2. Each voting member of the council shall be a member of at least one standing committee, but the membership of no standing committee shall include more than two elected faculty representatives from the same college or more than one student representative.
 3. The chair of each committee shall notify the chair of the Undergraduate Council in writing of any member assigned to committee who has been absent from either three consecutive regular meetings of the committee or half the regular meetings of the committee during a one-year period beginning August 15. The chair of the Undergraduate Council shall bring this matter to the attention of the council at the next regular meeting of the council and shall, with the consent of the majority of the remaining members of the council, declare that member's position on council to be vacant.
- B. The council shall have an Executive Committee.
 1. The chair of the Executive Committee shall be the chair of the council. The other members shall be the vice chair of the council, the chairs of the council's standing committees, and the Provost's deputy.
 2. The Executive Committee shall meet before each regular meeting of the council.
- C. The council may have *ad hoc* committees as necessary to consider matters clearly not the responsibility of a standing committee or the Executive Committee. No *ad hoc* committee shall continue beyond the term of the chair appointing it.
- D. At its first regular meeting in March, the council shall elect a Nominating Committee by a plurality vote of those present and voting.
 1. The Nominating Committee shall be made up of four members of the council, at least three of whom shall be faculty.
 2. At the council's first regular meeting in April, the committee shall nominate at least two eligible members of the council to be chair of the council for the next year.
 3. Action by this committee shall not preclude individual members of council from making additional nominations.

- E. Committee chairs shall attempt to hold committee meetings when a majority of the committee members can attend and notify the members of the committee where and when meetings are to be held at least twenty-four hours before they begin.
- F. Members shall be regular in their attendance at meetings of their committees. One-half the membership of each committee shall constitute a quorum for the transaction of business.
- G. All committees of the council shall report in writing to the council.

MEETINGS

- A. The council shall hold regular meetings at least four times each fall and spring semester and if necessary during the summer.
 - 1. The first regular meeting each fall and spring shall take place during either the first or the second week of classes.
 - 2. The chair shall announce in writing the dates of the semester's other regular meetings no later than the first regular meeting each semester and the date of the regular summer meeting(s) no later than the first regular meeting of the spring.
 - 3. During the fall and spring semesters, regular meetings shall be held on Wednesdays from three until five o'clock in the afternoon. Meetings that continue beyond that time shall be considered to be special rather than regular, from five o'clock until they end.
 - 4. At least forty-eight hours in advance, the chair shall notify the members of the council in writing where each regular meeting is to be held. In the absence of such notification, a meeting shall be considered to be special rather than regular.
- B. The council shall hold special meetings upon the call of the chair or upon a written petition of at least five members. The chair or members who call the meeting shall notify the members of the council where and when it is to be held at least twenty-four hours before it begins. If possible, special meetings shall be held on Wednesdays at three o'clock in the afternoon.
- C. Members shall be regular in their attendance at meetings of the council. Members who are unable to attend a meeting shall notify the chair as soon as possible. Members who are absent from either three consecutive meetings of the council or one-half the meetings of the council or its committees during a one-year period beginning August 15 may be removed from the council for excessive absences except that members who cannot attend any meetings of the council for at least one semester, but less than two semesters, may be replaced for that period by and from the constituencies which the absent members represent.
- D. At regular meetings of the council, the members who are present shall constitute a quorum for the transaction of business. At special meetings, one-half the membership shall constitute a quorum.
- E. Upon request of at least three of its members present and voting, the council shall postpone consideration of any proposal unless a spokesman for the proposal is present.
- F. No changes to either the Core Curriculum of the University of Houston or the undergraduate admissions requirements shall become effective during the academic year following their adoption by the Undergraduate Council, unless said changes have been received in writing for review by the council on or before the 1st of March except with the consent of at least two-thirds of the members present and voting at a regular meeting of the council.

- G. All meetings shall be conducted according to *Robert's Rules of Order, Newly Revised*, except where a contrary rule is provided by these bylaws.

ELECTIONS

- A. All elections and matters voted upon shall be determined by a majority of those voting, except where these bylaws provide otherwise.
- B. The election of the chair shall be by written ballot.
- C. Upon the call of five or more members, any matter to be voted on shall be by written ballot.
- D. There shall be no voting by proxy.

AMENDMENTS

- A. These bylaws may be amended
 - 1. At a regular or special meeting of the council by a two-thirds vote of members present, provided that a written notice of the amendment in the exact form in which it is finally adopted shall have been distributed to the members of the council at least five days in advance.
 - 2. By written three-fourths vote of the entire membership of the council. Members shall have at least two weeks to cast their votes.
- B. Unless it specifies otherwise, an amendment shall become effective immediately upon its adoption.

ADOPTION

These bylaws shall become effective when approved by two-thirds of the members of the council, the Provost, and the President of the University of Houston.

Appendix D

Research Council Bylaws (from page 32)

[Note: The Research Council and Faculty Senate unified in the Spring of 2011. Bylaws revision is pending.]

PURPOSE

The Research Council is responsible for advising and making recommendations to the Vice President for Research (VP-Research) at the University of Houston on issues relating to research and scholarship.

The Research Council's specific responsibilities include:

- A. To administer the internal grants program: Structure the program each year in light of available resources, prepare and issue the call for proposals, coordinate the proposal review process, and recommend awards to the (VP-Research).
- B. To administer the Research Excellence Award: Establish guidelines, issue the request for nominations, oversee the activity of the selection committee, and recommend awards to the (VP-Research).
- C. To develop and recommend policies relating to the conduct of research and scholarship at the University.

MEMBERSHIP

- A. Representation on Research Council: The Research Council shall consist of a fixed distribution of members representing a) tenure-line faculty from degree-granting units, b) research faculty, c) centers and institutes, d) the Honors College, and e) graduate research students. The by-laws will be reviewed at least every five years for changes by the membership of the council.

Research Council representatives will be selected as follows:

1. One member from each degree granting unit, plus two additional members from the College of Liberal Arts and Social Sciences, plus two additional members from the College of Engineering, plus two additional members from the College of Natural Sciences and Mathematics (no two members shall be from the same academic department), one member of the Graduate and Professional Studies Council and one member of the Faculty Senate. Frequently, Research Council members will also be members of the Graduate and Professional Studies Council or of the Faculty Senate and those persons can serve the liaison function, reducing the faculty membership. Selection of the representative simultaneously serving on the Research Council and the Graduate and Professional Studies Council will alternate annually between the two Councils.
2. A member representing the Honors College.
3. A member representing the research faculty. This position could be filled by an individual working in or out of a Center or Institute.
4. A member representing the collective body of Research Centers and Institutes. This individual could be a member of the research faculty or the tenure-track faculty.

5. A staff member representing the Office of Research Policies, Compliance and Committees in the Division of Research in a non-voting, *ex-officio* capacity.
6. The Vice President for Research in a non-voting, *ex-officio* capacity.
7. A graduate student member appointed by the Student Government Association in a non-voting capacity.

B. Selection of Members:

1. College faculty members are selected by their respective colleges according to college bylaws for a three-year term. The number of representatives from each college is specified in Paragraph A and should be on a rotating basis such that approximately one-third of the members are replaced each year.
2. The Vice President for Research shall provide a mechanism for selection of a Research Faculty member representative of research faculty.
3. The representative of the Centers and Institutes will be selected from the collective body of Research Centers and Institutes as recommended by the Council on Research Centers and Institutes coordinated by the Vice President for Research.

OFFICERS

The Council shall have a Chair and a Vice Chair who shall be members of the Council.

1. The Chair and the Vice Chair shall be elected by the Council for a one-year term from among those members who will be returning to the Council the following year, at the last meeting of the Spring term. They shall assume their offices at the conclusion of the Spring term. Usually, the Chair will be in his/her last year and Vice Chair in his/her next to last year on Council while serving in their offices. The Vice Chair is a strong candidate for the Chair the following year.
2. The duties of the Chair are:
 - a. In consultation with the incoming Council, to set the dates for the meetings of the Council. Traditionally, meetings have been set on designated Fridays of each month that do not conflict with University holidays and teaching breaks.
 - b. To set the agenda for the meetings of the Council.
 - c. To preside at all meetings of the Council.
 - d. To appoint the chairs and members of the committees of the Council as described under Section IV of these Bylaws.
 - e. To notify the Dean of the appropriate College of the resignation of any member or the extended or frequent absences from the Council Meetings of any member (see Paragraph V - F) and request assurances that either the member will attend or that an appropriate replacement shall be selected.
 - f. To assure that the approved minutes of the Council, including its actions, are transmitted to the Vice President for Research in a timely manner.
 - g. To serve as member of the Esther Farfel Award Committee.

- h. To appoint the members of the University Research Excellence Award Committee and then serve as chair of the committee. The committee is usually chosen to represent the colleges of the nominees. When possible, previous winners of the Research Excellence Award are given preference to serve on the committee.
3. The chair may:
 - a. Call special meetings of the Council and set the agenda for those meetings.
 - b. Participate in the discussion of the Council at its meetings, unless prohibited from doing so by a vote of two-thirds of the members of the Council present and voting.
 - c. Vote during meetings of the Council.
 - d. With the approval of the Council, appoint non-Council members to the committees of the council.
 4. The Vice Chair shall serve as Chairman of the Internal Grants Committee. This committee, with the approval of the Council, is responsible for the administration of the formal Internal Grants Programs of the University. The Vice Chair shall perform the duties of the Chair during the Chair's temporary absence. If the office of the Chair or Vice Chair becomes vacant, the Council shall hold a new election to determine the successor.

COMMITTEES

A. Standing Committees:

1. The Committee on Centers and Institutes is chaired by a member of the Research Council. It is responsible for providing a review of all Centers and Institutes on a rotating basis and making recommendations to the Provost regarding their viability. Additionally, the Committee on Centers and Institutes has the responsibility for making recommendations for approval (or disapproval) to the Vice President for Research.
2. The Research Awards Committee is chaired by the Vice Chair of the Research Council. This committee makes funding recommendations for the internal grants programs. The committee may be composed of members of the Research Council and/or supplemented by other faculty appointments outside the membership of the Research Council.
3. The Research Excellence Awards Committee is chaired by the Chair of the Research Council. Members are appointed by the Research Council Chair in conjunction with the Vice President for Research after the nominations are submitted. Appointments to the committee usually come from previous Research Excellence Awards winners and faculty in areas which represent the nominations.

B. Ad Hoc Committees:

The Chair of the Council shall appoint Ad Hoc Committees (and their chairs), as needed, to help formulate and develop issues discussed by the Council. The chairs of the ad hoc committees shall be members of the Council, but the other committee members need not be. The chair of each ad hoc committee shall be prepared to report on the activities of the committee at each Council meeting when called upon by the Chair. At the end of the academic year or when the charge of the committee has been accomplished, the chair of the committee shall prepare a written report of the committee's activities and submit it to the Chair of the Council.

MEETINGS

- A. The Council shall hold regular meetings during the Fall and Spring semesters. The Chair shall announce, in writing, the dates of the meetings.
- B. Should the need arise, the Council may hold special meetings upon the call of the Chair or the written petition of at least five members. The Chair or members who call the meeting shall notify the members at least one week in advance of the meeting.
- C. Members who are unable to attend a meeting shall notify the Chair as early as possible.
- D. At meetings of the Council one-half the "active membership", i.e., voting members currently in good standing (see Paragraph F), shall constitute a quorum.
- E. All meetings shall be conducted according to *Roberts Rule of Order, Newly Revised*, except where a contrary rule is provided by these Bylaws.
- F. Members shall be regular in their attendance at meetings of the Council. Members who are absent from either three consecutive regularly scheduled meetings of the Council or one-half the regularly scheduled meetings of either the Council or its committees during a one-year period beginning with the first day of the Fall Semester (as defined by the University Class Schedule) may be removed from the Council. The administrative officer of the unit represented will be contacted for replacement. An exception can be made for members who cannot attend any meetings of the Council for an entire semester due to a time conflict or absence from the campus. They may be replaced for that period by the unit they represent.

ELECTIONS AND VOTING

- A. All elections and matters voted upon shall be determined by a majority of those voting, except where these Bylaws provide otherwise. Upon the call of five or more members, the vote shall be by written-ballot.
- B. There shall be no voting by proxy.
- C. Ex-officio members may participate in discussion but do not have voting privileges.

AMENDMENTS

- A. These Bylaws may be amended in two ways:
 - 1. At meetings of the Council by a two-thirds vote of the members present, provided that written notice of the proposed amendment shall have been distributed to the members of the Council at least one week in advance.
 - 2. By a three-fourths mailed ballot vote of the entire (voting) membership of the Council. Members shall have at least two weeks to cast their votes.
- B. Unless it specifies otherwise, an amendment shall become effective immediately upon its adoption.

Appendix E

Promotion and Tenure Guidelines

(NOTE: As the Faculty Handbook is revised on a biennial basis, please check the Provost's Office website at http://www.uh.edu/provost/fac/prom_ten.html for the most current information).

Promotion and Tenure

These policies relate to the renewal or non-renewal of appointments of all tenure track faculty and to promotion actions for all tenure track and tenured faculty members.

Definitions

Tenure

Tenure at the University of Houston is awarded by the Chancellor of the University of Houston System and President of the University Houston, upon the recommendation of the Provost, under the authority delegated by the Board of Regents and upon the basis of recommendations initiated by departments and reviewed carefully by the colleges, the University Promotion and Tenure Committee, and the Provost. These recommendations result from an assessment of the individual's academic achievement and an estimate of future achievement. Tenure awarded at the University of Houston does not entail tenure at any other university of the University of Houston System. It is awarded on the basis of teaching, research, and service excellence to date, consistent with the mission of the University, and implies a high degree of confidence in the continuation and enhancement of this performance for the benefit of the University. An affirmative decision represents a positive judgment that the individual has contributed and will contribute to the development of excellence in the academic programs at the University of Houston, particularly within the context of the individual's college. Recommendations for promotion and tenure shall be transmitted annually from the Provost to the Chancellor/President, with all supporting documentation submitted by May 1 of each year and shall be effective at the beginning of the succeeding academic year.

Tenure may be granted to faculty members upon the successful completion of a probationary period at the University of Houston. The service of tenured faculty shall be terminated only for adequate cause, except in cases of financial, discontinuance of programs, medical reasons, resignation, or retirement.

Tenure for Non-citizens

In order to be granted tenure, a faculty candidate must either be a citizen of the U.S. or have permanent residence. In order to be considered for tenure, non-tenured tenure-track faculty who are not U.S. citizens must have permanent residence by the end of the spring semester prior to the year in which the tenure review will take place, or must have an approved labor certification/Form I-140 Immigrant Petition for Alien Worker approved by the U.S. Citizenship and Immigration Services (USCIS), if immigrating via sponsored employment. The probationary period will not be extended in the event that a faculty member does not have permanent residence by that time. In the event that the labor certification/I-140 has been approved, and the adjustment of status or consular immigrant visa application is pending, and is simply awaiting approval or availability of an immigrant visa number, the faculty member may be considered for tenure. In the case of those

faculty eligible for tenure consideration, tenure, if recommended and approved, will not be granted until such time that permanent residence has been granted by the USCIS.

General Policies

The primary responsibility for faculty review lies within the candidate's department and college. It is, therefore, critical that the departments and colleges set their own criteria and quality standards. The promotion and tenure policies are designed to assure that high standards are maintained and that due process is followed. Due process consists of two elements. First, faculty have the right to know what is expected of them to be promoted and/or tenured. Second, candidates for promotion have the right to be heard, to clarify vagueness, and/or correct factual errors before any recommendation is forwarded to the next level of review. It should be noted that a faculty request for an extension of the probationary period should not reflect negatively on that individual's review for tenure.

The University of Houston policies are guided by principles delineated by the American Association of University Professors. To assure an equitable review, the following policies must be followed at each level and incorporated into departmental and college policies:

- A.** Promotion and/or tenure review is a peer review process. For that reason, only tenured faculty should vote on tenure decisions; only full professors should review and vote on applications for promotion to professor. Exceptions must be stated in the appropriate policies that apply at the departmental or college levels.
- B.** Committee recommendations must be based on written tenure and promotion criteria and standards that have been previously approved by the Provost.
- C.** Committee recommendations must include the name, rank, and title of each member of the review committee. Faculty who vote on a candidate's file at one level may not vote on that candidate a second time at a higher level.
- D.** Committee deliberations shall be conducted in confidence and the committee's findings shared in writing with the applicant or the appropriate administrator.
- E.** Department chairs and deans conduct independent reviews and make written recommendations based on an examination of all portfolio materials, including external letters of review and committee findings.
- F.** Each subsequent review body is responsible for considering any procedural problems it identifies in the prior review and for making every effort to correct any errors caused by those problems.
- G.** Applicants are entitled to a reconsideration of the Chair's, Dean's, and Provost's negative recommendations. Reconsiderations are limited to errors of fact and procedure. Further, applicants are entitled to reconsideration of negative recommendations by the department, college and university promotion and tenure committees. Other avenues of appeal may be available pursuant to department and/or college bylaws.
- H.** Candidates may update their portfolios before the materials are sent to the next level.
- I.** After the Provost's final decision, applicants may initiate a grievance within 30 calendar days of receipt of the Provost's letter.

Probationary Period

The *probationary period* is defined as the time a faculty member spends under annual appointment in a tenure track position prior to being awarded tenure. Tenure track faculty will be notified annually of decisions regarding continuing appointment. The probationary period for tenure shall not exceed seven academic years. The number of years and the terms of the probationary period shall be specified in the appointment letter. If a faculty member begins employment after the beginning of an academic year but prior to the end of the spring semester of that academic year, either the probationary period for that faculty member shall be less than seven years, or the faculty member shall serve in a non-tenure track position for the remainder of that academic year and shall then have a probationary period of seven years. Up to three years of prior full-time collegiate-level teaching at the rank of assistant professor or above may be credited to the probationary period. Credit towards the probationary period of an assistant professor is discouraged since this significantly shortens the length of time the faculty member has to achieve the teaching, research, and service accomplishments necessary to achieve tenure. For probationary appointments the final and mandatory review for tenure shall take place in the year prior to the final probationary year-- e.g., year six of a seven-year probationary period. Requests may be made for early consideration of promotion and tenure.

During the probationary period, decisions to renew or terminate appointments or to deny tenure shall be made in accordance with the principles and procedures set forth in this Handbook.

A leave of absence shall not be considered as part of the probationary period for tenure unless a written agreement to the contrary is made between the faculty member and the dean of the college prior to the leave period.

Reviews during Probationary Period

Every tenure-track faculty will be reviewed annually by the department chair or appropriate administrator according to departmental procedures. Additionally, faculty whose appointment letters state that they have at least a four-year probationary period must undergo a thorough pre-tenure review. This review normally is conducted at the beginning of January of the faculty member's third year at the University of Houston. The faculty member must submit a portfolio in accordance with departmental/college policies and criteria for review by the departmental review committee. The committee informs the department chair, who conducts an independent review then writes a letter to the candidate detailing the strengths and weaknesses of the pre-tenure review portfolio. The chair sends a copy of the letter to the dean, who files the letter in the faculty member's personnel file. The letter then becomes part of the mandatory tenure review. Summaries of annual reports should be available to internal reviewers in promotion and tenure cases.

Non-renewal of Appointment of a Tenure Track Faculty Member

The decision not to renew the appointment of a non-tenured tenure track faculty member is not a form of dismissal for cause. Non-reappointment of a tenure track faculty member without tenure does not require justification of professional inadequacy nor is the faculty member affected by the decision entitled to a statement of the reasons upon which the decision for such action is based. The faculty member may grieve the nonrenewal decision to the Provost if the faculty member believes the decision to be a violation of the faculty member's contractual rights or an infringement upon the exercise of rights guaranteed by the laws or the constitution of this state or of the United States. The grievance must be filed in writing with the Provost within fifteen calendar days of receipt of

the notice of nonrenewal. The faculty member may request a personal meeting with the Provost or may elect to proceed in writing only. The Provost's decision on the nonrenewal decision is the final institutional step in this matter and shall not be subject to further review.

The decision to deny tenure shall be made no later than twelve months prior to the expiration of the probationary period, except as provided below. Written notice to the tenure track faculty that a probationary appointment is not to be renewed shall be given to the faculty member by the dean in advance of the expiration of the appointment, according to the following schedule of dates.

- A. For tenure track faculty in the first academic year of the probationary period, notice must be given not later than March 1 that their appointments will end at the conclusion of the current academic year; or, if a one-year appointment expires during an academic year, at least three months in advance of its expiration.
- B. For tenure track faculty in the second academic year of the probationary period, notice must be given not later than December 15 of the second academic year of service that their appointments will end at the conclusion of the current academic year; or, if an initial two-year appointment expires during an academic year, at least six months in advance of its expiration.
- C. For tenure track faculty in the third or later year of the probationary period, notice must be given not later than May 31 of the academic year preceding the academic year in which the appointment is to expire (e.g., non-reappointment at the end of third-year review) that their appointments will end at the conclusion of the terminal appointment.

When a *bona fide* financial exigency or the elimination of a program necessitates the reduction of the number of tenured faculty members, efforts shall be made to place the faculty members in other related faculty assignments.

For University of Houston financial exigency policy, see pages 79-81.

Time in Rank

(For a basic definition of these ranks, see pages 42-43.)

- A. **Instructors** may be appointed to the tenure track. (*See page 42.*) Time spent as an instructor on the tenure track at a specific university in the University of Houston System shall be counted as part of the probationary period. Faculty members may not be awarded tenure at the rank of instructor.
- B. **Assistant professors** shall serve a probationary period not to exceed seven years. Promotion and tenure must be awarded concurrently. If promotion is not granted, the candidate may not be tenured.
- C. **Associate professors** may be appointed with tenure, or alternately shall serve a probationary period not to exceed four years before tenure is awarded. In cases of exceptional merit, the probationary period specified in the appointment letter may be shortened by the Provost at the request of the dean or appropriate division head.
- D. Promotion from associate to **professor** requires strong evidence of teaching, scholarship, and service as appropriate to the mission of the university. No specified time in rank is required for promotion from associate to full professor.
- F. **Professors** are usually appointed with tenure but may be required to serve a probationary period not to exceed four years, which shall be stated in the appointment letter.

Extension of Probationary Period for Childbirth or Adoption

An untenured tenure-track faculty member who becomes a parent due to the birth or adoption of a child and who is responsible for the primary care of that child will be given upon request a one year extension of the probationary period, with or without a leave of absence. The faculty member is responsible for notifying his/her Department Chair in writing of a request for extension within six months of the birth or adoption of the child. The Department Chair will acknowledge the extension of the probationary period and will inform the faculty member of the revised year of tenure review, with a copy to the Dean who will then notify the Provost's office.

Unless the faculty member expressly declines the extension in writing at the time the notice is given, the probationary period will be extended by one year. The extension of the probationary period may occur at most twice (for a total of two years extension), with each extension occasioned by the birth or adoption of a child, and by timely notice as defined above. Requests for extensions of the probationary period normally will not be considered after March 1 of the academic year prior to the tenure review period.

For purposes of this policy, a child is newborn or, in the case of adoption, under the age of six. Also, a tenure-track faculty member who is responsible for the primary care of the child is one who is responsible for significant and continuous care of his or her newborn or adopted child. If both parents are tenure-track faculty members, only one may qualify as the primary caregiver.

If a faculty member takes a leave of absence, this policy shall be applied in conjunction with relevant leave statutes and policies.

Policy on Extension of the Probationary Period for Emergencies

An untenured tenure-track faculty member has the right to request an extension of the probationary period because of serious illness, family emergencies or other serious personal circumstances. Circumstances that may justify an extension include, but are not limited to, serious illness and injury, or other serious disruptions or unexpected reasons beyond the faculty member's control.

Requests must be made in writing and submitted within six months after the emergency circumstances or personal circumstances occur. The request must be forwarded through the Department Chair and Dean to the Provost. The Provost will inform the dean of his or her decision and the year of tenure review. These decisions should be made as soon as practicable.

Requests for extensions of the probationary period normally will not be considered after March 1 of the academic year prior to the tenure review period.

This policy does not address faculty leave, nor does it affect any existing policy or policies relating to faculty leave.

Criteria and Standards for Promotion and Tenure

University Criteria

The basic criteria and standards of the University of Houston reflect a commitment to academic excellence. It is the expectation that faculty members shall meet the highest standards of their disciplines within the domains of teaching, scholarship, and service. Specifically, candidates for promotion are to demonstrate their effectiveness as teachers and that they have advanced knowledge or creativity in their respective disciplines or made significant creative contributions in their academic areas. This should be substantiated by appropriate publications, reviewed

presentations or other appropriate publicly available communications. Service may involve contributions to departmental and college efforts, to campus-wide activities or to external professional organizations.

Criteria by Rank

Promotion to associate professor with tenure requires that faculty members have made high quality contributions to knowledge as a result of their scholarly and/or creative achievements, that they are effective teachers, and they have demonstrated an appropriate level of service. The evaluations of the candidates' portfolios are conducted by peers in the department and/or college with input from external reviewers who have not previously collaborated with the candidates. The evaluation must find that the candidate has demonstrated a commitment to academic excellence and that there is reasonable expectation that the candidate will meet the standard for promotion to professor in due course.

Promotion to the rank of professor requires significant contributions to the candidate's field that have had a scholarly or creative impact beyond the university. The application portfolio will document a record of accomplishments in scholarship/creativity, teaching, and service responsibilities that are distinguished by quality and significance over time.

Local Criteria

Departments and/or colleges are responsible for the application of the criteria and standards for promotion and tenure, consistent with prevailing standards of excellence in their own disciplines. Deans must review and approve written departmental criteria. The criteria and standards must be reviewed and approved by the Office of the Provost and distributed by the college and/or department to its faculty.

University Procedures for Tenure Reviews

Each spring, department chairs and deans review faculty appointment letters and inform all faculty with upcoming tenure reviews that their applications will be considered during the next promotion and tenure cycle. The Provost's Office will issue annual procedures by May 1 to all deans, directors, and department chairs. Before the end of the spring semester, these administrators should provide the web addresses of the department, college, and university procedures to all non-tenured, tenure track faculty.

Candidates are encouraged to obtain applicable procedures for departmental and college reviews. Procedures for university reviews and for the applicant's portfolio are listed on the Provost's Office website at <http://www.uh.edu/provost/fac/fac-guidelines-docs/forms/prom-ten/>.

Candidates may withdraw their applications for promotion/tenure without penalty at any time during the review process in the College. However, when the reviews are mandatory, the withdrawal must be accompanied by a resignation letter and a signed Separation Form.

Candidates must be advised of a decision not to award tenure at least 12 months prior to the expiration of the probationary period. After the Provost's final decision, should the candidate believe that there were serious procedural violations that subsequent reviews failed to correct, the candidate may file a grievance (see Grievance Procedures in Promotion and Tenure Matters, directly below).

Promotion and Tenure Procedures

Departmental Reviews

Prior to the Review

Not later than the last working day of January each dean must submit for the Provost's approval his/her Department/School and College promotion and tenure policies and procedures, including all printed statements about guidelines, standards, and criteria.

The candidate is responsible for assembling his/her portfolio,-with the exception of external review letters--uploading all portfolio materials to the University's electronic promotion and tenure site and maintaining a copy of all portfolio materials. See Applicant's Electronic Folder on page 13. The candidate should include in the portfolio the appropriate research, teaching, and service documentation that reflects their achievements.

The department chair is responsible for requesting external review letters for the promotion and tenure candidates. The candidate's electronic folder must contain a minimum of three letters and no more than six letters from external referees, however, all letters received in response to a department's request must be included in the candidate's electronic folder. External reviewers should have achieved senior status (rank of professor) and national recognition. External referees must be scholars who are not former collaborators, mentors, or friends of the candidate. The candidate's electronic folder must contain one sample copy of the request letters to referees, a one-paragraph description of the qualifications of each external reviewer with the relation to the candidate clearly stated, and a list of the nominators of outside reviewers.

In requesting evaluations, the chair should ask the referees:

Does the candidate's work, taken as a whole, constitute a serious and significant contribution to the discipline?

What is your assessment of the candidate's contributions in the areas of research, scholarship or other creative activity?

Is the candidate currently known as a scholar whose work is likely to be known and respected by leaders in the field?

What is the nature of your professional contact with and knowledge of the candidate?

Would the candidate be promoted and/or tenured, as appropriate, at the referee's institution?

Does the referee recommend promotion and/or tenure?

Letters to referees should include a brief description of the candidate's department and its mission. Letters should also specify a date for return of the evaluation. Candidates will not be shown or have access to external letters as part of the promotion and tenure process.

During the Review

Departmental review committees are responsible for reviewing all persons applying for tenure and promotion in the department and for writing a justification of their recommendations. Department chairs are responsible for conducting an independent review that corrects any errors in the evaluation that were caused by procedural problems within the committee. Chairs write separate

letters stating their own evaluations of the candidate. The letter from the department chair should address the strengths and weaknesses of the candidate. Letters containing negative recommendations should explain reasons and specify areas of weakness that justify the negative recommendation. Justification for each recommendation should be clearly and fully stated. Moreover, justifications should address the merits of each individual case and should not be mere summaries or restatements of earlier assessments.

In the event of a negative recommendation, the candidates may ask for a reconsideration of the committee's and/or chair's decisions to rebut statements made or to offer new evidence for the review. The reconsideration may not question the professional judgment of the review body. After a reconsideration, the review body shall respond in writing.

The chair is responsible for ensuring that the committee's votes and their justification, the chair's decisions, and any rehearing letters are included in the candidate's electronic folder prior to the College Review. University policy mandates that no extraneous materials be included in the candidate's electronic folder prior to the College Review. Examples of extraneous materials include letters of support solicited by the candidate, information in the candidate's personnel file, letters from committee members expressing individual or minority opinions, etc.

College Reviews

Prior to the Review

Each college must have written policy statements that govern the promotion and tenure process at the college level. These policies state criteria for tenure and promotion and should give examples of evidence of criteria having been met; college procedures take precedence over departmental policies. In the case of clinical or research faculty, which are non-tenure track positions, differential criteria should be used to distinguish their work from that of other faculty. These differences should be conveyed to the candidates, and their portfolios should set out these distinctions. The policies must be submitted to the Provost for approval by the last working day in January. Once approved, they should be made available to every non-tenured faculty member.

During the Review

College review committees are responsible for reviewing all persons applying for promotion and tenure within the College and for writing a justification of their recommendations. Deans, in consultation with college faculty committees, are responsible for conducting an independent evaluation of each application, correcting any procedural problems during previous reviews, and writing independent recommendations. Letters containing negative recommendations should explain reasons and specify areas of weakness that justify the negative recommendation. Justification for each recommendation should be clearly and fully stated. Moreover, justifications should address the merits of each individual case and should not be mere summaries or restatements of earlier assessments. Those evaluations, along with the vote of the college committee and its written justification for the recommendation, are included in the candidate's electronic folder.

In the event of a negative recommendation, candidates may ask for a reconsideration of the committee's and/or dean's decisions. This process is designed for faculty members to rebut statements made or to offer new evidence. The reconsideration may not question the professional judgment of the review body. After the reconsideration, the review body shall respond in writing.

The dean is responsible for ensuring that the committee's votes and their justification, the dean's decision, and any rehearing letters are included in the candidate's electronic folder prior to the

University Review, by the last class day of the fall semester. University policy mandates that no extraneous materials be included in the candidate's electronic folder prior to the University Review. Examples of extraneous materials include letters of support solicited by the candidate, information in the candidate's personnel file, letters from committee members expressing individual or minority opinions, etc.

University Reviews

The University Promotion and Tenure Committee advises the Provost on all promotion and tenure candidates. The committee then provides its recommendation, accompanied by the votes and justification to the Provost, who conducts an independent review. The Provost may seek additional advice from members of his/her staff, the dean, or other appropriate bodies. The Provost informs each candidate of his/her decision.

In the event of a negative recommendation, candidates may ask for reconsideration of the committee's and/or the Provost's decisions, respectively to review errors of fact or procedure. The reconsideration may not question the professional judgment of the review body. After the reconsideration, the review body shall respond in writing to the Provost.

After any reconsideration, the Provost makes final recommendations and provides justifications to the Chancellor/President. The Chancellor/President reviews those recommendations and makes tenure decisions and recommends promotion actions to the Board of Regents, which makes the final promotion decisions. The promotion and tenure actions take effect at the beginning of the following academic year.

Procedures for Non-Mandatory Reviews

Faculty who would like to be considered for a non-mandatory promotion such as from associate to professor should contact the dean's office to obtain a copy of the University Guidelines. The timelines and procedures are generally the same as for Mandatory Reviews.

The review of the portfolio will be conducted as with applications for promotion to Associate Professor, with the exception of the external reviewers. The university recognizes that for promotions from Associate Professor to Professor the external reviewers may know the candidate. However, the department should assure that the reviewers are as objective as possible, in spite of possible professional relationships. Letters to the external reviewers should inquire about the nature of any collaboration. External reviewers should also be asked to evaluate the quality and significance of the candidate's contributions and whether the candidate is known and respected by leaders in the field.

Faculty members undergoing non-mandatory reviews who are unsuccessful may withdraw their applications without penalty at any time during the College-level review process.

Applicant's Portfolio/Electronic Folder

Since the major responsibility for review rests with the department and college, thorough documentation should be submitted by the candidate as evidence for all items claimed in the candidate's vita.

A. Face Sheet

This electronic form should be prepared by the candidate's dean's office.

B. Internal Letters

The candidate's electronic folder should include any department or college committee evaluation reports, letters from chair to dean and dean to Provost, and any appeals letters. University policy mandates that no extraneous letters or materials be included.

Copies of the initial letter of appointment to the university and the results of probationary reviews must be included in the candidate's electronic folder for candidates for mandatory review. For non-mandatory review candidates', documentation of their previous promotions should be included.

Letters from department chairs and deans should address the strengths and weaknesses of the candidate. Letters containing negative recommendations should explain reasons and specify areas of weakness that led to the negative recommendation. Justification for each recommendation should be clearly and fully stated. Moreover, these letters should address the merits of each individual case and should not be mere summaries or restatements of earlier assessments. The dean's letter of recommendation is especially important.

C. External Review Letters

The electronic folder must contain a minimum of three letters and no more than six letters from external referees, however all letters received in response to a department's request must be included in the candidate's electronic folder. External reviewers should have achieved senior status (rank of professor) and national recognition. External referees must be scholars who are not former collaborators, mentors, close personal friends, or relatives of the candidate. The electronic folder must contain one sample copy of the request letters to referees, a one-paragraph description of the qualifications of each external reviewer with the relation to the candidate clearly stated, and a list of the nominators of outside reviewers.

Letters requested from thesis advisors, co-authors, or former students are not considered to be "arm's length" and will not be considered. The chairperson or dean should explain the method for selecting external references and provide the name, title, rank, position, and institutional affiliation of each referee. In requesting evaluations, the writer should ask the referees:

Does the candidate's work, taken as a whole, constitute a serious and significant contribution to the discipline?

What is your assessment of the candidate's contributions in the areas of research, scholarship, or other creative activity?

Is the candidate likely to emerge as a scholar whose work is currently known and respected by leaders in the field? (assistant professors)

What is the nature of your professional contact with and knowledge of the candidate?

Would the candidate be promoted and/or tenured, as appropriate, at the referee's institution?

Does the referee recommend promotion and/or tenure?

Letters to referees should include a brief description of the candidate's department and outline the general direction and/or mission of the department. Letters should also specify a date for return of the evaluation.

D. Candidate's Statement

The candidate may include a brief (no more than three pages) statement, including academic career goals, accomplishments, and directions for future work. The candidate may describe how all facets of his/her career form an integrated, successful profile or the candidate may identify achievements in the areas of teaching, scholarship, and service separately.

E. Vita

The candidate should include a traditional vita with the categories below. Additionally, corroboration of the information in the vita should be included as follows:

1. Teaching and Student Learning

Documentation in this section includes evidence of a commitment to teaching and learning, including:

- a. Student Evaluations of Teaching.** Teaching evaluations of all classes are required by university policy. Student evaluation data should include summaries of teaching evaluations with comparative departmental data. Teaching effectiveness ratings should include all classes taught at the Assistant or Associate level. Candidates for full professor may include only those classes taught since the last promotion or in the last 10 years. Results should be summarized in a single table that includes evaluations for all courses taught and information about the instrument's items and response scale. In programs where individual classes, small studios, or performances are the norm, special care should be taken to assure full and comprehensive teaching evaluations.
- b. Peer Evaluation of Teaching.** Though not required in all departments, candidates may include formal or informal peer assessment of the candidate's teaching effectiveness.
- c. Course and Program Development and/or Revision.** Information about course, curriculum, and program development can provide evidence of a commitment to student learning. The candidate's contribution to course development may be documented with sample course syllabi, teaching-grant proposal abstracts, courseware, cases and simulations, brief descriptions of student projects, examples of modifications for Instructional Television or Internet teaching, etc. Evidence of program development may include student recruitment, advising, and retention; directing graduate research; interdisciplinary program development, etc.
- d. Other Evidence of Teaching, Student Learning, and the Scholarship of Teaching.** Candidates may submit evidence that they have facilitated students' success. Examples may include contributions to students who have won awards, letters from community

members who have benefited from student projects or internships, and other evidence that the candidate contributed to student learning. This section may also contain evidence of the candidate's commitment to enhancing his/her teaching ability. Professional development activities, scholarly approaches to evaluating teaching effectiveness, teaching excellence awards, and guest lecturing or team teaching or recruiting quality students should also be documented here.

2. Research, Scholarship and Other Creative Productivity

The research mission of the University of Houston is to create, discover, disseminate, and preserve knowledge and understanding by engaging in basic and applied research and scholarly and artistic activities that benefit students, scholars, and external constituencies. The following categories are suggested for candidates to document how they have carried out the university's research mission.

- a. **Scholarly/Creative Work:** Completed works should be listed in the following order: books, monographs, journal articles (refereed journals should be marked with an asterisk), refereed proceedings, book chapters, other papers, juried exhibits, shows, recitals, awards, etc. Within each of these sections, the citations should be listed in reverse chronological order (starting with the most recent). Articles should be cited following the discipline style sheet and must include the exact title and the names of any co-authors in the order in which they appeared in print, and the page length. Citations of creative presentations must be listed as on public announcements. For exhibits, shows, recitals, etc., the information forwarded must include the dates and nature of the event(s). Copies of programs and reviews, if any, of each creative activity are also desirable. Works actually in press as well as works accepted or under review are to be listed below.
- b. **Articles Accepted for Publication:** Include works in press and works accepted for publication.
- c. **Representative Works:** Reprints of articles, published reviews, programs, and other substantial scholarly/creative products should be sufficient to demonstrate the scope and quality of the candidate's scholarly activities. Include samples of printed material, pictures of artistic creations, reviews, and other related items in the candidate's portfolio. Do not send books, compact discs, or other valuable samples to the Provost's Office.
- d. **Published Reviews:** Copies of relevant reviews.
- e. **Other Work Products:** One copy of other substantial work products (e.g. books, slides of artistic creations, etc.).
- f. **Technical Reports:** The listing should specify the title, date, and length of the document, and the sponsoring agency or individual.
- g. **Research Proposals:** The following information should be included for each proposal:
 - (1) Name of the principal investigator and all co-investigators;
 - (2) Title of the grant proposal;
 - (3) Funding agency; and

(4) Amount requested

h. Research Grants: The following information should be included for each grant:

(1) Name of the principal investigator and all co-investigators;

(2) Title of the grant proposal;

(3) Funding agency;

(4) Amount of the grant; and

(5) Time period of the grant.

i. Major Work(s) in Progress: The information provided here should comment on the nature of the work(s) and identify anticipated date of completion. The solicitation letter to external evaluators should specifically request an assessment of major work(s) in progress.

j. Other Indicators of Scholarly Creative Work: List book reviews, editorial contributions, citations, research awards, and other indicators of contributions to the discipline/profession, cited in the format of the discipline's style sheet.

3. Service

The candidate should provide a complete listing with documentation of the categories below.

a. Service to the Department, College, and University: List committee membership, administrative roles, and other contributions to the university.

b. Service to the Profession/Academic Discipline: Describe activities that strengthen the profession, including leadership in professional organizations.

c. Service to the Community or Public: Document public involvement that is related to the candidate's area of expertise, including speeches, expert advice to community organizations, donations of creative or scholarly efforts to public institutions, consultations with private organizations, etc.

d. Other Contributions: The candidate may provide evidence of other significant contributions that advance the profession/discipline.

Electronic Folder Checklist

I. INTERNAL LETTERS

- A. _____ UH appointment or promotion letter
- B. _____ Probationary review letter(s)
- C. _____ Extension of probation letter
- D. _____ Dean, including a statement of expectations
- D1. _____ Dean rehearing
- D2. _____ Dean rehearing materials
- E. _____ College Committee
- E1. _____ College Committee rehearing
- E2. _____ College Committee rehearing materials
- F. _____ Department Chair, including a statement of expectations
- F1. _____ Department Chair rehearing
- F2. _____ Department Chair rehearing materials
- G. _____ Department Committee
- G1. _____ Department Committee rehearing
- G2. _____ Department Committee rehearing materials

II. EXTERNAL REVIEWS (minimum of three "arm's length"; six maximum)

- A. _____ Statement of process for selecting outside reviewers
- B. _____ Sample copy of letters of request to reviewers
- C. _____ One paragraph (1/2 page maximum) summary of the qualifications of each external reviewer (no CVs)
- D. _____ Letters from outside reviewers

III. _____ CANDIDATE'S STATEMENT of accomplishments in teaching and student learning, scholarly/creative contributions, and professional service

IV. _____ CANDIDATE'S CURRICULUM VITAE

A. TEACHING AND STUDENT LEARNING

- 1. _____ Evaluations of teaching: summary table of student evaluations with comparative data (no raw data); teaching evaluation procedures and questionnaire; peer teaching evaluations
- 2. _____ Course and program development and/or revision
- 3. _____ Evidence of student learning
- 4. _____ Other evidence of the scholarship of teaching

B. SCHOLARSHIP AND OTHER CREATIVE CONTRIBUTIONS

- 1. _____ List work in the following order: books, monographs, articles (refereed articles marked with an asterisk), juried exhibits, shows, recitals, etc. (include works in press). Document work with representative reprints, published reviews, programs, and other substantial scholarly/creative products
- 2. _____ List funded grants and contracts
- 3. _____ Other indicators of scholarly/creative contributions (scholarly presentations, other publications, editorial work, published courseware, citations, technical reports, major work in progress, etc.)

C. SERVICE

1. _____ Department, College, and University
2. _____ Profession/Academic Discipline
3. _____ Community/Public
4. _____ Other evidence of professional service

Appendix F

University of Houston Promotion and Tenure Grievance Procedures

(from pages 74 and 75)

On a promotion or tenure matter the following procedures for grievance shall be followed:

- A. In his/her written appeal or grievance to the Grievance Committee, the faculty member shall set forth in detail the nature of the grievance and shall submit factual material pertinent to his/her case. By filing, the faculty member consents to the Grievance Committee having access to those materials and documents in the dossier it deems relevant to the proceedings.
- B. Should the faculty member allege that there were procedural discrepancies in the process concerning the promotion and/or tenure decision, the committee shall decide whether or not to recommend reconsideration by the Provost, with the understanding that the committee shall not substitute its judgment for that of the review bodies. If the University Grievance Committee recommends reconsideration by the Provost, the committee shall indicate in what respects it believes the initial consideration may have been inadequate. If the committee decides that adequate consideration has been provided, its decision shall be considered final. Any committee decision shall be reported in writing and transmitted promptly to the faculty member, the department chair, the college dean, and the Provost. In all actions resulting from a recommendation to reconsider, the decision of the Provost shall be final.
- C. If the faculty member alleges that violations of academic freedom significantly contributed to a decision not to grant him/her tenure, the committee shall decide whether or not there should be a formal hearing. If the committee decides in favor of holding a formal hearing, the matter will be heard in the manner set forth below in the section on "Dismissal of Faculty Members with Tenure and Special or Probationary Appointments Before the End of the Specified Term of Appointment," except that the faculty member making the *grievance* is responsible for stating the grounds upon which s/he bases his/her allegations, and that the burden of proof shall rest upon him/her. If s/he succeeds in establishing a *prima facie* case, it is incumbent upon those who contributed to the decision not to reappoint him/her to come forward with evidence in support of the decision. If the committee decides against holding a formal hearing, its decision and the reasons therefore shall be stated in writing and transmitted promptly to the faculty member, the department chair, the college dean, the Provost, and the President.

For additional information: call the Office of the Provost, 713-743-9101.

Appendix G

UH General Grievance Procedures (from pages 73-75)

The faculty member initiating the grievance (hereafter referred to as "grievant") must file a written statement of the grievance with the Chair of the University Grievance Committee. The statement of grievance must contain the following information:

- A. The names of the parties involved in the grievance.
- B. Specific issues and actions upon which the grievance is based.
- C. The desired outcome or remedy.
- D. Documentation supporting all charges involved in the grievance.

Upon receipt of the grievance, the Chair of the Committee forwards a copy of the grievance to the Provost.

The Grievance Committee shall decide whether or not the evidence submitted in support of the complaint warrants a detailed investigation or a formal hearing. If the Committee decides against holding a formal hearing or conducting a detailed investigation, the decision and the reasons thereof shall be stated in writing and transmitted promptly to the faculty member and the Provost.

If the Grievance Committee decides that the evidence submitted warrants a detailed investigation or formal hearing, the Chair provides a copy of the grievance and documentation to the persons named as parties in the grievance (hereafter referred to as "respondents"). Upon receipt of the grievance, the respondent prepares a response and submits to the Committee any materials relevant to the case within a time frame identified by the Committee, but no later than thirty days from receipt of the grievance.

The Grievance Committee conducts the detailed investigation or formal hearing in accordance with its procedural rules. The investigation or hearing may be conducted by the Committee as a whole or may be assigned to a subcommittee. All such subcommittees shall be responsible and report to the University of Houston Grievance Committee. A quorum of the hearing committee is required during all deliberations.

Any member of the Committee who is directly involved in the grievance or who has been a member of a previous committee involved with the case is not eligible to serve on the hearing committee.

The hearing committee is responsible for conducting its investigation or hearing in a timely manner, to be established during the formulation of the procedural rules. The Chair of the hearing committee is responsible for scheduling any necessary oral testimony.

The grievant and respondent may be accompanied by an advocate who may assist the grievant or respondent in presenting the case or response to the Committee. If an advocate is appearing for any party in the grievance, all parties shall be allowed to have their advocates present during their testimony. It is the responsibility of the grievant or respondent to communicate with their advocates about Committee proceedings. The proceedings shall be conducted as follows:

- A. A formal hearing begins with the grievant's testimony. Testimony by additional witnesses is determined by the Committee on a case-by-case basis. The hearing committee hears testimony of each party separately. The grievant and respondent may request that witnesses give testimony on their behalf.
- B. If a person is not available to testify, the Chair may request written testimony.
- C. Both the grievant and the respondent may present to the Committee a list of questions that they would like the Committee to ask the parties not present. These questions will be asked in subsequent testimony as outlined above.
- D. All testimony given before the Committee is recorded on audio tape. During the course of the proceedings, these tapes are placed on file in the office of a Committee member, who will be designated by the Committee. Upon request, copies of these tapes will be made available for review by the grievant, respondent, and Grievance Committee members.
- E. The grievant and respondent may review all testimony and additional documentation given in a grievance hearing and prepare a written response. Written responses must be forwarded to the hearing committee Chair by the time specified by the Committee.
- F. If further investigation is needed, the Committee may request additional documentation or testimony. All parties will have an opportunity to respond to such additional information by the Committee's specified time.

Upon completion of all testimony and responses, the Committee meets to deliberate. The Committee is responsible for preparing a report of findings and recommendations.

If heard by a subcommittee, the report is first submitted to the Grievance Committee for approval. The Grievance Committee Chair promptly transmits the report of findings and recommendations to the Provost with copies to the grievant, respondent, and other principal parties. The report shall set forth the findings of fact, conclusions, and recommendations. The complete grievance file and tapes of the proceedings are also forwarded to the Office of the Provost, where they are kept for two years before being destroyed. The Provost considers the advice of the Grievance Committee and makes an independent ruling on the case.

The grievant and/or respondent may, by written request, have the opportunity to present the case to the Provost. The Provost's decision shall be final. The Provost shall transmit the final decision and the supporting reasons to the faculty member, the University of Houston Grievance Committee, the Chancellor/President, and other principal parties in the dispute.

Appendix H

Grievance Policy and Procedure for Graduate, Professional, and Post-baccalaureate Students (from page 75)

The following university-wide policy and procedure, for graduate, professional, and post-baccalaureate (PB) students, apply to the redress of grievances concerning academic and instructional matters and other issues for which there are no other existing grievance procedures.

- A. Every effort shall be made by the graduate/professional/PB student and the faculty member(s) involved to settle their differences amicably and informally to redress the grievance. If appropriate or necessary, the department chair shall participate in this informal effort to resolve this grievance. Students in colleges and schools where graduate programs are not administered by a department shall have an alternative person (i.e. Associate Dean, program director or an appropriate designee) to resolve the grievance.
- B. In the event that an informal resolution is not possible, the graduate/professional/ PB student may petition the department chair or the alternative (Associate Dean, program director or an appropriate designee) by filing a formal written complaint within 10 working days after the decision is mutually made that the grievance cannot be settled informally. The letter should provide details regarding the complaint and redress sought. After receipt of the letter, the department chair or alternative must respond in writing within the time specified according to the department's or program's established procedures for dealing with such matters.
- C. In the event that either the grievant or the respondent is unsatisfied with the outcome of the departmental level process (items A and B above), that party may petition the dean of the college against which the grievance is held or the dean's designee-by filing a formal written petition. The dean of the college must respond in writing within the specified time according to the college's established procedures for dealing with such matters. The dean's response must include an explanation for his/her decision.
- D. If either the grievant or the respondent is unsatisfied with the outcome of the college level process, that party may file an appeal seeking university level review by the Graduate and Professional Studies Grievance Committee (GPSGC) which is under the purview of the Office of Graduate and Professional Studies. This appeal must be in writing, explaining the party's position, and filed with the Office of Graduate and Professional Studies within 30 calendar days of the final disposition at the college level. The appeal may designate as respondents any of the following persons: (i) the college dean or designee who issued the decision at the college level; (ii) the departmental chair who issued the department's decision or the alternative; and (iii) the original faculty member or committee members giving rise to the grievance. In the absence of a designation, only the faculty member or committee members will be respondents. The appeal must include a concise statement of the outcome desired by the appellant.

Review at the university level shall be for the purpose of determining

- (i) Whether the appealing party was given a reasonable opportunity to be heard at the departmental and college levels and (ii) whether the college's decision was reasonably reached. Procedural violations which would not affect the substantive result or are not substantially prejudicial to either party are not grounds for appeal.

Upon receiving a written appeal, the Office of Graduate and Professional Studies will review the reports from the department and college processes and will, within 10 working days, determine whether to return the grievance to the department or college, reject the appeal, or refer the appeal to a committee. If the office decides to refer the appeal to a committee, the

office will notify the chairperson of the Graduate and Professional Studies Council (GPSC), who will appoint a committee (GPSGC) within 10 working days of receiving such notification.

The GPSGC will consist of two graduate/professional students and three faculty members, none of whom will be from the respondent's department or program or from the department or program in which the grievant is enrolled. The faculty members will be appointed by the chair of GPSC on an ad hoc basis. The chair of GPSC will also select the student members from a pool of graduate students provided by each of the colleges. The chair of the committee will be elected by the members of the committee members. All members of the committee will have voting privileges. The GPSGC will review the appeal file and may also request other documents as it sees fit.

Within 30 calendar days of being formed, the GPSGC should schedule a hearing with the interested parties. This deadline may be extended at the GPSGC's discretion upon written request of a party or upon stipulation of all parties. No record of the hearing will be required and the deliberations will be completed with reasonable speed. If a recording is made (at the discretion of the committee), it should be made available to all parties. Counsel for each of the parties involved may be present with that person, but will not be allowed to speak at the hearing. Expert resources should be available to the committee in an advisory capacity as needed. The GPSGC will report its recommendations in writing to the Office of Graduate and Professional Studies within 10 working days of the hearing, who will make a decision within 10 working days following their receipt. The Office of Graduate and Professional Studies will forward a copy of this decision in writing to the parties, to the dean of the college in the event s/he is not a party, and to the GPSGC. Any party may file, within 10 working days of notification, a written appeal of the decision to the Senior Vice President for Academic Affairs and Provost. The Provost may conduct a plenary review. The Provost's decision, presented within **30** working days, will be final.

- E. A graduate/professional student with a pending grievance regarding academic issues, if employed in a graduate student appointment, will retain privileges and salary, subject to a review of the individual situation by the department or college.

*In cases where the college does not have departments, the college level grievance policy and procedure replaces that of the department or program.

Guidelines for Graduate/Professional/PB Grievance Hearings

- A. The GPSGC may set time limits for each party to present its case.
- B. The GPSGC may request a representative from the university's General Counsel's office to attend as an observer.
- C. Notification of the hearing schedule to all parties must be done in writing. Either hand delivery or certified mail with return receipt requested will be used. The hearing schedule may be revised by the chairperson in her discretion, upon motion of a party or on the committee's own motion.
- D. Any information provided to the GPSGC by a party will be provided by that party to all other parties prior to or simultaneously with providing it to the GPSGC.

See pages 140-148 for infractions covered by Academic Honesty Policy.

Appendix I

Dismissal Hearing Procedures (from page 77)

If the Provost determines to undertake dismissal proceedings, the proceedings shall be governed by the following provisions:

- A. The faculty member shall have the right to a hearing before an *ad hoc* faculty hearing committee appointed by, but not from, the Grievance Committee in consultation with the Chancellor/President. Service of notice of the hearing with the specific charges in writing shall be made at least 20 working days prior to the hearing.
- B. Members deemed disqualified for bias or interest may remove themselves from the case, or may be removed at the request of either party, disqualification to be determined by the remaining members of the committee.
- C. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but denies the charges against him/her, or asserts that the charges do not support a finding of adequate cause, the hearing committee shall evaluate all available evidence and rest its recommendation upon the evidence in the record.
- D. The hearing committee may hold joint pre-hearing meetings with the parties in order to simplify the issues, effect stipulations of facts, provide for the exchange of documentary or other information, and achieve such other appropriate pre-hearing objectives as will make the hearing fair, effective, and expeditious.
- E. The hearing shall be public or private, in accordance with the faculty member's wishes. If the faculty member declines to express a preference, the committee shall exercise its judgment as to whether the hearing should be public or private.
- F. The burden of proof that adequate cause for termination or dismissal exists rests with the university.
- G. During the proceedings the faculty member shall be permitted to have an academic adviser or counsel of his/her own choice. At the request of either party or the hearing committee, a representative of an appropriate educational association shall be permitted to attend the proceedings as an observer.
- H. An accurate record of the hearing or hearings shall be taken and the official transcript shall be made available to the faculty member, without cost, at the faculty member's request.
- I. The hearing committee shall grant adjournments to enable either party to investigate evidence about which a valid claim of surprise is made.
- J. The faculty member shall be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration shall cooperate with the hearing committee in securing witnesses and in making available documentary and other evidence.
- K. The faculty member and the dean, department chair, and university officers involved with the dismissal proceedings shall have the right to confront and cross-examine all witnesses. Where those witnesses cannot or will not appear, but the committee determines that the interests of justice require admission of their statements, the committee shall identify the witnesses, disclose their statements, and if possible provide for interrogatories.

- L. In the hearing of charges of professional incompetence, the testimony shall include that of qualified faculty members from this or other institutions of higher education.
- M. The hearing committee shall not be bound by strict rules of legal evidence, and may admit any evidence that is of probative value in determining the issues involved. Every reasonable effort shall be made to obtain the most reliable evidence available.
- N. The findings of fact and the decision of the committee shall be based solely on the hearing record.
- O. Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the proceedings by either the faculty member or administrative officers shall be avoided as far as possible until the proceedings have been completed.
- P. Pending a final decision by the hearing committee, the faculty member shall be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to himself/herself or others is threatened by his/her continuance. Before suspending a faculty member, and pending an ultimate determination of his/her status through the institution's hearing procedures, the administration shall consult with the Grievance Committee concerning the propriety, the length, and other conditions of the suspension. A suspension that is intended to be final is a dismissal and shall be treated as such. Except in extreme circumstances, the salary of the faculty member shall be continued during the period of suspension.
- Q. If the hearing committee concludes that the case for dismissal has not been justified by the evidence in the record, it shall so report to the Chancellor/President. If the committee concludes that the case for dismissal has been established, it shall recommend to the Chancellor/President either dismissal or, if it believes it more appropriate, a lesser academic penalty. In the latter case, it shall provide supporting reasons for its judgment. The Chancellor/President makes a recommendation to the Board of Regents which makes the final decision.

Appendix J

Drug and Alcohol Abuse Prevention Policy (from page 156)

It is the policy of the University that illicit drug use, including their manufacture, sale, distribution, dispensation, possession, or use is prohibited in the workplace, on the campus, or as part of any university activities. Sanctions imposed for violation of this policy are indicated below.

The Dangers of Drug or Alcohol Abuse in the Workplace and on the Campus

There are many employed individuals whose job performance and productivity are adversely affected by the progressive dependence on drugs or alcohol. Much of this cost is in lost wages, health care expenses, and workers compensation. Additionally, the impact of drug use and high risk alcohol consumption for the college student cannot be overlooked in terms of its cost to the individual student and the institution. For specific information related to alcohol and other drug consumption and consequences, go to the Higher Education Center website at <http://www.higheredcenter.org/>.

A. Definitions

The following terms are defined for the purposes of this policy and are important for purposes of expressing the university's policy on a drug-free workplace.

1. **Controlled Substance** means a controlled substance in schedules I through V of section 202 of the Controlled Substances Act (21 U.S.C. 812) as further defined by regulations at 21 CFR 1300.11 through 1300.15, and as defined in the Texas Controlled Substances Act [Texas Health and Safety Code, §481.001 et seq.].
2. **Contract** means a legal instrument reflecting a relationship between the federal government and a recipient whenever the principal purpose of the instrument is the acquisition by purchase, lease, or barter, of property or services for the direct benefit or use of the federal government; or whenever an executive agency determines in a specific instance that the use of a type of procurement contract is appropriate.
3. **Conviction** means finding of guilt (including a plea of *nolo contendere*) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the federal or state criminal drug statutes.
4. **Criminal drug statute** means a federal or non-federal criminal statute involving the manufacture, sale, distribution, dispensation, use, or possession of any controlled substance.
5. **Employee** means an individual receiving a salary, wages, other compensation and/or stipend support from the university.
6. **Federal agency or agency** means any United States executive department, military department, government corporation, government controlled corporation, or any other establishment in the executive branch (including the Executive Office of the President), or any independent regulatory agency.
7. **Grant** means an award of financial assistance, including a cooperative agreement, in the form of money, or property in lieu of money, by a federal agency directly to a grantee. The term grant includes block grant and entitlement grant programs, whether or not exempted from coverage under the grants management government-wide regulation ("Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). The term does not include technical assistance that provides services

instead of money; or other assistance in the form of loans, loan guarantees, interest subsidies, insurance; or direct appropriations or any veteran's benefits to individuals, i.e. any benefit to veterans, their families, or their survivors by virtue of the service of a veteran in the Armed Forces of the United States.

8. **Grantee** means a legal entity that applies for or receives a grant or contract directly from a federal agency.
9. **Illicit drug use** means the use of illegal drugs and the abuse of other drugs and alcohol.
10. **Student** means an individual registered or enrolled for credit or non-credit in a course or program offered by the University or any of its units.
11. **University activities** mean an activity officially sponsored by the University of Houston.
12. **Workplace** means the physical boundaries of the University and facilities owned or controlled by the University.

B. **Philosophy**

The unlawful use of drugs or abuse of other drugs and alcohol is inconsistent with the behavior expected of members of the university community. The University is committed to the development and maintenance of a drug-free environment on the campus as well as an environment that prohibits the abuse of other drugs and alcohol and has a drug and alcohol abuse prevention system in operation, accessible to all members of the university community. The University is committed to the further expansion of that program and the dissemination of drug awareness information to the members of the university community. In addition, the University is committed to enforcing the provisions of the Drug-Free Workplace Act of 1989 and believes that these acts and their implementation regulations provide a proper framework for the drug and alcohol abuse policies of the University.

C. **Health Risks**

Outlined below is a listing of drugs of abuse and their health risks taken from the U.S. Drug Enforcement Administration website. A more complete and detailed accounting may be found at their website at <http://www.justice.gov/dea/statistics.html>.

Alcohol

Alcohol (beer, wine, or liquor) has a high potential for physical and psychological dependence as well as resulting in increased tolerance. Possible effects include impaired memory, slurred speech, drunken behavior, slow onset, vitamin deficiency, and organ damage. Overdose may result in vomiting, respiratory depression, loss of consciousness, and possible death. Withdrawal may include trembling, anxiety, insomnia, vitamin deficiency, confusion, hallucinations, and convulsions.

Females who drink alcohol during pregnancy may give birth to infants with Fetal Alcohol Syndrome. These infants have irreversible physical abnormalities and mental retardation. In addition, research indicates that children of alcoholic parents are at greater risk than other children of becoming alcoholics. Alcohol use is often related to acquaintance rape and failure to protect oneself from sexually transmitted diseases (STDs). Additionally, alcohol-related accidents are the number one cause of death in the 16- to 24- year age group.

Narcotics

Narcotics (including heroin, morphine, hydrocodone, oxycodone, codeine, and others) have a high potential for both physical and psychological dependence as well as resulting in increased tolerance. The possible effects of using narcotics include euphoria, drowsiness, respiratory depression, constricted pupils, and nausea. Overdose may result in shallow breathing, clammy skin, convulsions, coma, and death. Withdrawal may include irritability, tremors, panic, nausea, chills, and sweating.

Other Depressants

Other depressants (including GHB or liquid ecstasy, valium, xanax, ambien, and barbituates) have a potential for both physical and psychological dependence as well as resulting in increased tolerance. The possible side effects include slurred speech, disorientation, appearance of intoxication, and impaired memory. Overdose may result in shallow respiration, clammy skin, dilated pupils, weak and rapid pulse, coma and possible death. Withdrawal may include anxiety, insomnia, tremors, delirium, convulsions, and possible death.

Stimulants

Stimulants (including cocaine, methamphetamine, and methylphenidate) have a possible risk of physical dependence and high risk for psychological dependence. Tolerance can develop in all stimulants. The possible side effects include increased alertness, excitation, euphoria, increased pulse rate and blood pressure, insomnia, and decreased appetite. Overdose may result in agitation, increased body temperature, hallucinations, convulsions, and possible death. Withdrawal may result in apathy, long periods of sleep, irritability, depression, and disorientation.

Hallucinogens

Hallucinogens (including MDMA, LSD, Phencyclidine, and others) are less likely to result in physical dependence, with the exception of phencyclidines and analogs, and vary in terms of psychological dependence, ranging from none to moderate (MDMA) to high (phencyclidine and analogs). Tolerance can develop. Possible effects include heightened senses, teeth grinding, and dehydration (MDMA and analogs) and hallucinations, altered perception of time and distance in others. Overdose may result in increased body temperature and cardiac arrest for MDMA and more intense episodes for LSD. Some hallucinogens may result in muscle aches and depression when in withdrawal (MDMA) or may result in drug seeking behavior.

Cannabis

Cannabis includes marijuana, tetrahydrocannabinol (THC), and hashish or hashish oil. All may result in moderate psychological dependence with THC resulting in physical dependence. Tolerance can develop in all forms. Possible effects include euphoria, relaxed inhibitions, increased appetite, and disorientation. Overdose may result in fatigue, paranoia, and possible psychosis. Withdrawal may occasionally result in insomnia, hyperactivity, and decreased appetite.

Anabolic Steroids

Anabolic Steroids (including testosterone, and others) may result in psychological dependence. Less is known as to their potential for physical dependence and increased tolerance levels. Possible effects may include virilization, edema, testicular atrophy, gynecomastia, acne, and aggressive behavior. Effects of overdose are unknown. Withdrawal may possibly include depression.

Inhalants

Inhalants (including amyl and butyl nitrite, nitrous oxide, and others) vary in their level of psychological dependence, with less known about their potential for physical dependence and tolerance. Possible effects may include flushing, hypotension, and headache, impaired memory, slurred speech, drunken behavior, slow onset, vitamin deficiency, and organ damage. Overdose may result in methemoglobinemia, vomiting, respiratory depression, loss of consciousness, and possible death. Withdrawal may result in agitation, trembling, anxiety, insomnia, vitamin deficiency, confusion, hallucinations, and convulsions.

D. Penalties for Violation of the Policy

The university policy prohibiting the unlawful possession, use, or distribution of illicit drugs and/or alcohol on the campus and at university-sponsored events held off campus protects and supports the employees and students of the University of Houston.

Any employee admitting to or convicted of the unlawful possession, use, or distribution of illicit drugs and alcohol on the campus or at university-sponsored events held off campus will be subject to disciplinary action (up to and including termination), may be referred for prosecution, and may be required to satisfactorily participate in a drug and alcohol assistance or rehabilitation program, as agreed upon between the employee and the Department of Human Resources. Further information concerning employee penalties is available from the Human Resources Customer Service Center, 713-743-3988.

Any student admitting to or proven to have violated the University of Houston's Student Disciplinary Policies and Procedures regarding the unlawful possession, use or distribution of illicit drugs and alcohol on campus or at university sponsored events (see Student Disciplinary Policies and Procedures Section) will be subject to disciplinary action (up to and including expulsion), may be referred for prosecution, and may be requested to satisfactorily participate in a drug and alcohol assistance or rehabilitation program. Further information concerning student penalties is available from the Dean of Students Office at 713-743-5470.

In addition, there are penalties under Texas and federal law. For more information on the range of penalties, refer to the Dean of Students website at <http://www.uh.edu/dos/publications/flyers.php>.

E. Employee and Student Assistance Programs

The University of Houston offers the following drug and alcohol abuse information, counseling, assistance and services:

1. Information and Referral

All members of the university community are eligible to consult with the professional staff of the Counseling and Psychological Services (CAPS) regarding the availability of drug abuse assistance programs. Drug and alcohol abuse counseling and rehabilitation program

referrals are routinely made to mutual help organizations, private hospitals, public treatment programs, and private drug treatment practitioners. CAPS also maintains a collection of resource materials pertinent to issues of drug abuse. In addition, UH Wellness, the campus wide education and prevention program, provides education and prevention on alcohol / drug abuse and related concerns for the campus community and maintains a library of materials on substance use and abuse.

2. Individual Counseling

Individuals are seen on a short-term basis for assistance with drug-related problems. However, it is likely CAPS will make a referral for alcohol and drug addiction. This service is available to students at no charge. Faculty and staff are able to receive short-term evaluation and referral for such services.

3. Group Counseling

There is an Alcoholics Anonymous (AA) chapter which meets on campus periodically. When unavailable on campus, referrals can be made to local AA or NA chapter meetings with the Greater Houston Community. This service is free to University of Houston students, faculty, and staff. An individual may also call AA Intergroup at 713-686-6300 to get a referral to an AA group meeting nearby.

4. Psycho-Educational Programs

On a periodic basis, group programs focusing on the development of strengths and skills related to the effective management of drug related problem areas are offered by the Counseling and Psychological Services and UH Wellness. These programs are open to University of Houston students, faculty, and staff at no charge. UH Wellness offers an evidence based alcohol education intervention to student groups every semester. Additionally, a computer interactive program entitled Alcohol 101 is available through UH Wellness. UH Wellness conducts exit interviews for students who complete the Marijuana 101 online workshop as a result of a disciplinary referral from the Dean of Students Office. UH Wellness also offers an approved Alcohol Education Course for Minors in Possession available to students who receive a court ordered citation or referrals from the Dean of Students Office or other campus departments.

5. Employee Assistance Program (EAP)

The University of Houston offers an Employee Assistance Program through UT Employee Assistance Programs (UTEAP) which will assist in mental health concerns including alcohol and other drug issues. The service can be accessed by calling 713-500-3327 or 1-800-346-3549.

6. Mutual Health Groups

Individuals can be assisted in forming groups like Alcoholics Anonymous and Alanon and information concerning these groups is maintained for dissemination to interested persons.

7. Houston Council on Alcoholism and Drug Abuse

Offers short-term counseling for anyone affected in any way by alcohol or other drug abuse. Trained alcohol and drug abuse counselors can help select a 12-step program (AA, Alanon, NA, CA, etc.) and/or appropriate treatment. Their address is 3333 Eastside. Telephone: 713-520-5502. Further information regarding these referrals may be secured from University of Houston Counseling and Psychological Services located in Room 226 of the Student Service Center, 713-743-5454.

F. Application of Policy

The Drug and Alcohol Abuse Prevention Policy is supported by a drug-free awareness and alcohol education and prevention program available to the faculty, staff, and students of the University. Specific compliance and reporting items enumerated below (items 2, 3, 4, 5) are applicable to all persons employed on federal contracts and grants. In support of this policy, the university:

1. Has established a drug-free and alcohol abuse awareness program to inform its faculty, staff, and students about the dangers of drug and alcohol abuse in the workplace, the University's policy of maintaining a drug-free workplace and a workplace which prohibits the illicit use of alcohol, available drug and alcohol counseling, rehabilitation, and employee assistance programs, and the penalties that may be imposed upon employees for drug and alcohol abuse violations.
2. Will provide each student and employee a copy of this policy. In addition, all faculty, staff, and students will be notified of this policy through appropriate publications.
3. Will notify each university employee and each student that, as a condition of employment on a federal grant or contract, the person, once so employed, must abide by the terms of the policy and must notify his/her supervisor and the Department of Human Resources of any criminal drug statute conviction for a violation occurring in the workplace not later than five days after such conviction.
4. Will notify the appropriate federal agency within ten days after receiving notice of criminal drug statute conviction of any university employee engaged in performance of the grant or contract.
5. Will impose sanctions on or require the satisfactory participation in a drug abuse assistance or rehabilitation program by any employee so convicted. Sanctions imposed on employees for violation of this policy may include suspension, suspension without pay, and termination.
6. Will make a good faith effort to continue to maintain an environment that complies with the Drug-Free Workplace Act of 1988 and the Drug-Free Schools and Communities Act of 1989.
7. Will conduct a biennial review of its programs to assess their effectiveness, determine what changes need to be made, and ensure the uniform application of sanctions to employees and students.

G. Implementation

Implementation of this policy is a joint responsibility of the Department of Human Resources, the Division of Research, the Police Department, the Office of Financial Aid, and the Division of Student Affairs. Notification of the program, including information about health risks and sanctions for violation of the policy, will be provided annually to students and employees. In addition, the University is committed to monitoring and assessing the effectiveness of this program. A biennial review of the program will be undertaken to determine its effectiveness and implement changes to the program if they are needed and to ensure that its disciplinary standards are consistently enforced.

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