



# **2019 Faculty Handbook**

**May 9, 2019**



UNIVERSITY OF HOUSTON SYSTEM  
UNIVERSITY OF HOUSTON

Office of the Chancellor, University of Houston System

Office of the President, University of Houston

June 2019

Dear Colleagues:

The University of Houston has certainly come a long way from its establishment as Houston Junior College in 1927 with a class of 232 students. It was elevated to four-year status in 1934, when it was re-named University of Houston. Now our Tier-One university proudly educates over 46,000 students annually with more than 300 undergraduate and graduate programs. The one thing that has not changed since the beginning is the dedication of our faculty.

Because of your work, the University of Houston is now the powerhouse that drives the region's economy, providing the work force and the intellectual and cultural capital that contributes to making Houston an international city of the first order. We *are* the house that innovation built.

During recent years, your representatives on the Faculty Senate, working with UH presidents, have created a climate of collegiality and cooperation that has served the institution well. As we build on these strengths, I welcome the opportunity to work with you within the context of our shared governance system to overcome challenges, find solutions, continue our resolute journey to national and international recognition, and – above all – preserve our core mission of providing our students with the best possible education.

This Faculty Handbook is meant to be a helpful resource for each faculty member. It contains information about UH System and University of Houston policies, as well as state laws, pertaining to your rights and responsibilities as faculty members and state employees.

Because the Faculty Handbook is an online resource at <http://fs.uh.edu/>, we are able to keep it updated as policies and procedures undergo continual revisions. For that reason, I encourage you to read the handbook and to further consult it for the latest updates as you have questions.

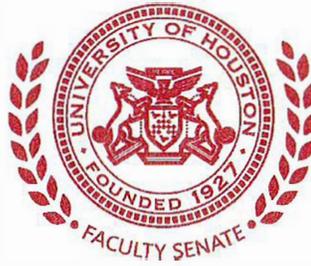
My gratitude goes to the Faculty Senate and the Office of the Senior Vice President for Academic Affairs and Provost and the committee members who collaborated in updating and producing this handbook.

With warm regards,

A handwritten signature in blue ink that reads "Renu Khator".

Renu Khator

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June 2019

Dear Colleague,

The Faculty Handbook has entered the digital era! In accordance with the Faculty Senate constitution, the Faculty Handbook is to be updated every two years by the Faculty Governance Committee. When the last revision weighed in at 268 pages, albeit in pdf form, the FGC decided to entirely revamp the Handbook. Led by the fearless chair, Dr. Cathy Horn, the committee along with representatives of the University Administration, modernized and condensed the Faculty Handbook to be both more useful and always up to date.

The Faculty Handbook that follows below is the result of this shared undertaking. The handbook revision group threw themselves into the task that involved ruthlessly cutting obsolete or duplicative sections, deftly wordsmithing wordy passages, and rigorously hunting down exact links to policies and procedures. When a section of the Handbook included an existing SAM or MAPP, a link to the current version is included rather than the entire text of the policy. When no such policy exists elsewhere, it has been left in the document as a reference for faculty. The draft was then circulated across campus units, to bring more precision and coverage to the final version.

The Faculty Handbook now more effectively accomplishes its purpose, as a comprehensive repository of policies, procedures, guidelines and resources necessary to allow faculty to excel in teaching, research and community leadership. Please join me in thanking Dr. Horn, the Faculty Handbook Committee, University Administrators and the Senate staff for their thoughtfulness, time and diligence in producing this new, web-based Faculty Handbook. At nearly a quarter of its original length, this Handbook will save time and reduce confusion. And, not unnoticed by me, will make my job as FGC chair in the next bi-annual revision incredibly easier.

A handwritten signature in blue ink, appearing to read 'Raúl Ramos', is positioned above the typed name.

Raúl A. Ramos, Ph.D.  
President, Faculty Senate 2019

## Effectively Using the Faculty Handbook

This edition of the Faculty Handbook has been updated substantially to become more user friendly. Specifically, the handbook has sought to include links and references directly to the original source policy, procedure, etc. in order that faculty have access to the most updated information. Archived versions of the Faculty Handbook are available, for reference, at <https://fs.uh.edu/resources>. Guidelines outlined in the Handbook ensure regular substantive review of the information included. Additionally, more frequent periodic review of the links included in the Faculty Handbook will be undertaken by Academic Affairs and the Faculty Senate.

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

### Compliance Statements

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.

The University of Houston is an Affirmative Action/Equal Opportunity employer. It is the policy of the University of Houston (UH) to ensure equal opportunity in all its educational programs and activities, and all terms and conditions of employment without regard to age, race, color, disability, religion, national origin, veteran's status, genetic information, or sex (including pregnancy), except where such a distinction is required by law. Additionally, UH prohibits discrimination in all aspects of employment and educational programs on the basis of sexual orientation, gender identity, or gender expression.

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

### Priority of Law, Regulations, and Rules

The University of Houston abides by all federal and Texas state laws and regulations, as well as University policy. As an institution of higher education, the University is dedicated to upholding the highest ethical standards. Consequently, University policies serve to provide guidance to foster a culture of ethics and compliance. Occasionally, some laws, policies, or regulations may appear to be at odds with one another. In those cases, the higher law/regulation/policy prevails.

## Hierarchy of Legal Authority

*Federal Law:* The foundation for all federal law is the U.S. Constitution. Upon this foundation, there are a multitude of federal laws and regulations which define areas with which the University must comply.

*State Law:* Texas has its own state constitution. State laws and regulations cannot violate federal law or the Texas constitution. University policies must comply with all applicable state laws and regulations, in addition to federal law.

## University Policy Hierarchy

*Board of Regents (BOR) Bylaws and Policies:* The University of Houston System Board of Regents is the governing body for the UH System and for each university within the system. BOR Bylaws and Policies, therefore, take precedence over other system or university policies.

<http://www.uhsystem.edu/board-of-regents/policies/index.php>

*System Administrative Memoranda (SAMs):* SAMs are intended to specify rules and regulations to implement Board policies, and/or to establish uniform rules, regulations and procedures on matters of overall System concern not addressed in Board policies.

<http://www.uh.edu/af/universityservices/policies/sam/>

*Manual of Policies and Procedures (MAPPs):* MAPPs are developed to ensure compliance and best practices with higher authority or directives. Additionally, MAPPs may provide procedures for policies. <http://www.uh.edu/af/universityservices/policies/mapp/>

*Office of the Provost Policies and Guidelines* <https://www.uh.edu/provost/>

### *College Authority*

#### College Bylaws

-- College Policies

--- College Guidelines and/or Procedures

### *Departmental Authority*

#### Departmental Bylaws

-- Departmental Policies

--- Departmental Guidelines and/or Procedures

## Other Compliance and Ethical Considerations

1. Division of Research Procedures, Policies and Guidelines
2. Grant rules and regulations
3. Standards of professional business and management practice
4. Academic and industry best practices
5. American Association of University Professors (AAUP) guidelines

## Handbook Availability

Since 2000 the handbook has been available online. The current Faculty Handbook may be found at <https://fs.uh.edu/resources>.

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## **Mission**

The mission of the University of Houston is to offer nationally competitive and internationally recognized opportunities for learning, discovery and engagement to a diverse population of students in a real-world setting. The University of Houston offers a full range of degree programs at the baccalaureate, master's, doctoral and professional levels and pursues a broad agenda of research and creative activities. As a knowledge resource to the public, the university builds partnerships with other educational institutions, community organizations, government agencies, and the private sector to serve the region and impact the world.

## **University of Houston Goals**

### **National Competitiveness**

UH will strengthen its status as a nationally competitive public research university as measured by the Carnegie Foundation for the Advancement of Teaching and Top American Public Research Universities (TARU) and will seek to meet the threshold needed for its entry into Association of American Universities (AAU).

### **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.

### **Competitive Resources**

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

## **University of Houston Diversity and Inclusion Statement**

The University of Houston embraces diversity and recognizes our responsibility to foster an open, welcoming environment where students, faculty and staff of all backgrounds can collaboratively learn, work and serve. We value the academic, social, and broader community benefits that arise from a diverse campus and are committed to equity, inclusion and accountability. Diversity enriches our university community and is a driving force instrumental to our institutional success and fulfillment of the university's mission. We commit to engaging in an ongoing dialogue to thoughtfully respond to the changing realities of our increasingly interconnected world. We will continually strive to work together to address the challenges of the future in a way that removes barriers to success and promotes a culture of inclusivity, compassion and mutual respect. The competencies gained through diverse experiences across campus prepare all of our students, staff and faculty to thrive personally and professionally in a global society.

## 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. Composed of the Faculty Senate and standing committees, the faculty governance structure establishes forums for internal discussion, proposes policies related to faculty concerns, gathers and disseminates information of interest to the faculty, and provides a faculty voice to the external community. Staff support is provided to the Faculty Senate 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. For more information, including a copy of the Faculty Senate Constitution and bylaws, please visit the Faculty Senate website at <https://fs.uh.edu/>.

Faculty Senate Standing Committees include:

- Budget & Facilities Committee
- Community and Government Relations Committee
- Executive Committee Council of Chairs
- Faculty Affairs Committee
- Faculty Governance Committee
- Graduate Professional Studies Committee
- Research & Scholarship Committee
- Undergraduate Committee

### University Standing Committees

#### Definition

Each university 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. Standing Committees are advisory to their appointing officer.

#### *Office of the President*

- Athletics Advisory Committee
- Sexual Harassment/Sexual Assault Board Title IX Grievance Committee

#### *Office of the Senior Vice President for Academic Affairs and Provost*

- University Grievance Committee
- Health Professions Advisory Committee
- International Students Advisory Committee
- Library Committee
- University Promotion and Tenure Committee
- Student Financial Support Committee
- Student Learning Abroad Scholarship Selection Committee
- Teaching Excellence Awards Selection Committee

***Office of the Senior Vice President for Administration and Finance***

Bookstore Advisory Committee  
Cougar Card Advisory Committee  
Cullen Performance Hall Advisory Committee  
Food Services Advisory Committee  
Human Resources - Fringe Benefits Committee  
Safety and Security Advisory Committee  
Sustainability Advisory Committee  
Transportation and Parking Advisory Board  
University Traffic Court

***Office of the Vice President for Student Affairs and Enrollment Services***

A.D. Bruce Religion Center Policy Board  
Undergraduate Admissions Review and Appeals Committee  
Student Financial Aid Advisory Committee  
Campus Recreation Advisory Committee  
Center for Students with DisABILITIES Advisory Board  
Children's Learning Center Advisory Board  
LGBTQ Advisory Committee  
Scholarship and Financial Aid Advisory Committee  
Student Health Center Policy Board  
Student Housing and Residential Life Committee  
Student Center Policy Board  
Student Fees Advisory Committee  
Student Media Advisory Committee  
Undergraduate Admissions Review and Appeals Committee University Hearing Board  
Veterans Advisory Committee  
Women and Gender Resource Center Advisory Committee

**Procedure**

- Each 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.
- No committee member shall have a designate serving in his/her place unless approved by the committee and also by the appropriate nominating body.
- 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.
- At the first meeting of the year, each committee shall be given a statement of its duties, responsibilities, and issues for consideration.
- Each 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.
- Each 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.

- There should be regular contact between the committee chairs and their related university offices in order to communicate recommendations and specific actions under consideration.
- Committees shall meet at least twice a semester.
- Extended or regular absences of a 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.
- The authority to alter the composition or charge of a 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.
- 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.

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. The exception is the Grievance Committee, which is elected by the faculty through university-wide balloting. *For charges to standing committees, please consult the offices to which they report.*

## **Other University Governance Bodies**

### **University of Houston Alumni Association**

The University of Houston Alumni Association (UHAA) is a collaboration between the University of Houston and The University of Houston Alumni Association Foundation, a non-profit dedicated to connecting alumni, faculty, staff, and students to the University of Houston and to each other. With over 5,000 Life Members, UHAAF is governed by a 20-member board of directors. UHAA offices are located in the Athletics/Alumni Center, adjacent to the Fertitta Center. Annual membership dues are no longer required to be a member. Life Membership continues and will be the focus for growth.

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. With programming serving the over 250,000 graduates of UH, as well as former students and alumni of certification programs, UHAA is the brand for all alumni relations programs administered by both UH and UHAAF. UHAA also encourages faculty and staff to take part in any of the over 35 constituent groups that support UH with programming and scholarships. 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.houstonalumni.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/faculty-staff/>.*

## **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://www.uh.edu/sga/>. The Student Handbook may be found at <http://publications.uh.edu/index.php>*

## **University Coordinating Commission**

The University Coordinating Commission (UCC) coordinates and expedites communications among faculty, staff, students, and the university's administration regarding policy and procedures development at the University of Houston. The UCC does not create policy, but rather serves to facilitate discussion among existing policy-forming groups. The UCC fosters 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/>.*

Proposed new academic policies and procedures or proposed changes to existing academic 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 an academic policy during the off-cycle, such implementation should be justified to the affected constituencies as an interim policy by the decision-maker. See MAPP 01.01.01 <http://www.uh.edu/af/universityservices/policies/mapp/>.

## **Advisory Committees to the Senior Vice President for Administration and Finance**

Building Coordinator Advisory Committee  
Campus Facilities Planning Committee  
Capital Planning and Renewal Committee  
Human Resources Advisory Committee  
Tuition and Fee Advisory Committee  
UH Master Planning Committee  
UHS Housing Initiative Committee

## 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;
- annual performance review guidelines (See <https://www.uh.edu/provost/policies-resources/faculty/policies/performance/>);
- 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 <https://www.uh.edu/provost/policies-resources/faculty/resources/dept-chair-roles/>) 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 Southern Association of Colleges and Schools (SACS) should involve the broadest cross section of faculty in the process.

College and department bylaws should be available online for accessibility.

# The University of Houston and Its Structure

The University of Houston 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.

Today, the University of Houston has a strong national and international reach and continues to serve students from Houston and the State of Texas. As the largest public university in Southeast Texas and the premier 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. *For more information about UH history and traditions, see <http://www.uh.edu/about/history/>.*

The University of Houston is accredited by the Southern Association of Colleges and Schools Commission on Colleges to award baccalaureate, master's, professional and doctoral degrees. Contact the Southern Association of Colleges and Schools Commission on Colleges at 1866 Southern Lane, Decatur, Georgia 30033-4097 or call 404-679-4500 for questions about the accreditation of the University of Houston.

*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 Administration and Finance's website on Statutorily Required Reports at <http://www.uh.edu/finance/>.*

## Administrative Offices

### Board of Regents

The University of Houston is governed by a Board of Regents comprised of nine regular members (who serve staggered 6-year terms) and a student regent. 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 information about the Board of Regents, including its bylaws, may be found at <http://www.uhsystem.edu/board-of-regents/index.php>.

## **University of Houston System Administration**

The University of Houston System is made up of four universities: the University of Houston, the University of Houston-Clear Lake, the University of Houston-Downtown and the University of Houston-Victoria. Each UH System institution has its own budget and is led by its own president and leadership. The chancellor of the UH System (who is also the president of the University of Houston) oversees the four-university organization. For additional information, see <http://www.uhsystem.edu/uh-system/>.

## **University of Houston Administration**

The University of Houston is governed by a President and her/his cabinet. For a full description of the UH administrative structure, see <http://www.uh.edu/about/leadership/>.

## **University of Houston Academic Structure**

The University of Houston comprises academic colleges and an interdisciplinary Honors College. Each major and graduate program “lives” in one of the academic colleges or schools. See <http://publications.uh.edu/content.php?catoid=31&navoid=11775> and <http://www.uh.edu/graduate-school/> for a complete list of programs and degrees. The Honors College, in contrast, provides special courses and opportunities for talented undergraduate students of all majors and departments. For a complete list of colleges and schools, see <http://www.uh.edu/academics/colleges-departments/>.

# University Policies and Procedures

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 as required by federal law, Texas law, or as required by changes in legal authority or specific changes in the university. System-wide administrative policies are published as System Administrative Memoranda (SAMs) found online at <http://www.uh.edu/af/universityservices/policies/sam/>. Administrative Policies for UH but not for other system universities 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 and MAPP 01.01.02.

## 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 Office of the Provost 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.

## General Policies Applicable to All Employees, including Faculty

### Consulting

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 specific conditions as established in Board of Regents Policy 57.02 (<http://www.uhsystem.edu/board-of-regents/policies/index.php>), and further detailed in SAM 02.A.08 (<http://www.uh.edu/af/universityservices/policies/sam/>). The first responsibility of the faculty member is to the university, and outside professional commitments must not interfere with the person's full-time responsibility to the university. Additionally, no outside obligations should result in any conflict of interest or conflict of commitment involving the faculty member's responsibility to the university or to its programs, policies, and objectives. Faculty should consult BOR policy 57.02 and SAM 02.A.08 *before* agreeing to any outside consulting or paid professional service. The outside consulting and paid professional activities application form can be found at <http://www.uh.edu/human-resources/forms/consulting.docx> and should be filed in advance of its occurrence. Failure to comply with these policies may subject an employee to disciplinary action including reprimand, suspension, or termination.

## Annual Reporting of Consulting and Paid Professional Service Activities

Annual reporting of consulting activities 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. The annual report does not replace the faculty member's obligation to provide prior written notification to their dean. *For additional information: consult the Office of the Provost, 713-743-9101.*

As detailed in BOR 57.02.7 and the Conflict of Interest Certification in Research (<https://www.uh.edu/research/compliance/coi/>), 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 is an occasional lecture which includes fees, unless these activities require significant amounts of time or otherwise conflict with regular System obligations.

## 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. Proposals for and operation of international partnerships are subject to the provisions of SAM 06.A.11 (<http://www.uh.edu/af/universityservices/policies/sam/>). *For more information contact the Office of the Provost.*

## Travel Policy

Travel undertaken on official University of Houston business and paid or reimbursed from university funds shall comply with federal, 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. 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 (<http://www.uh.edu/af/universityservices/policies/mapp/>; 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 (<http://www.uh.edu/af/universityservices/policies/mapp/>; Travel Paid from Local Funds).

In addition, 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.

*For additional information call the unit administrator or Accounts Payable, 713-743-5883 or visit:*

- *Accounts Payable Travel Website at [http://www.uh.edu/finance/pages/AP\\_Travel.htm](http://www.uh.edu/finance/pages/AP_Travel.htm),*
- *MAPP 04.02.01A and MAPP 04.02.01B, both at <http://www.uh.edu/af/universitieservices/policies/mapp/>, and*
- *Provost's Travel Fund Guidelines at <http://www.uh.edu/provost/faculty/current/grants/travel-fund/>*

## **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 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 printing and photocopying credit at printers and copiers in the M. D. Anderson Library each semester.

Faculty, staff, and students can pick-up their Cougar Card in one of the Cougar Card Offices. 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/>.*

## **Amending Policies Regarding Faculty Roles**

Any member of the University of Houston community may suggest a change in Academic Policies on Faculty Roles. 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. 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.

## Faculty Appointments

As mandated by Board of Regents Policy 21.06 (<http://www.uhsystem.edu/board-of-regents/policies/index.php>) and SAM 06.A.09 (<http://www.uh.edu/af/universityservices/policies/sam/>), the University of Houston has established the following definitions and conditions.

**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 which have been approved by the Chancellor. The Provost (or delegate) approves all faculty appointments. Appointment letters and reappointment agreements must be approved by Academic Affairs (AA) and must follow standard forms as adopted by AA and reviewed by the Office of General Counsel. Prior approval of the Chief Academic Officer (Provost) is required before any faculty appointment with tenure can be made. In addition, no person shall be appointed to the position of Dean or equivalent or Vice President or equivalent without prior consultation with the Chancellor and in accordance with Board of Regents Policy 57.10 (<http://www.uhsystem.edu/board-of-regents/policies/index.php>). No administrator may be given faculty status or tenure without a review and positive recommendation from the academic unit involved and the approval of the Provost.

If an individual to be appointed instructor of record does not have appropriate academic qualifications, a justification form must be completed to document the instructor's qualifications and experience. The relationship of the instructor's qualifications and experience to the specific subject matter and topics covered in the course must be apparent and comprehensively summarized on the form. For information on instructor credentials, please visit <http://www.uh.edu/provost/>.

### Designations of Faculty Positions/Titles

#### Tenure Track Positions

The following ranks are considered part of the tenure track: instructor (except as noted below), assistant professor, associate professor, and professor.

**Instructor** is normally a tenure track position; in special circumstances the President may waive the inclusion of an instructor in tenure track status, by written mutual consent.

**Assistant professor** is normally a probationary rank although in special cases, the President may request that tenure be awarded to an assistant professor.

**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.

**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.

The faculty status of persons who are not holders of standard faculty titles listed above, whether 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.

## **Non-Tenure Track (NTT) Positions**

The NTT faculty is comprised of two primary types of positions, those NTT faculty positions which are on a promotion-eligible (PE) pathway, and those NTT faculty positions which are on a non-promotion eligible (NPE) pathway. For guidance, please see <http://www.uh.edu/provost>.

Librarians are considered a staff position at the University of Houston. However, Librarians have the same rights and protections as faculty members at the University of Houston as delineated in the UH Faculty Handbook and/or as determined by applicable university policy. For specific policies governing Librarians at the University of Houston, see the *Bylaws of the Librarians of the University of Houston*.

The following faculty positions are NTT appointments. Other titles may be utilized by a college only with the permission of the Office of the Senior Vice Chancellor/Senior Vice President for Academic Affairs and Provost. Departments or colleges may deviate from these titles as necessary to comply with applicable national accreditation standards with the permission of the Office of the Provost:

### Promotion eligible:

- Instructional/Clinical/Research Assistant Professor
- Instructional/Clinical/Research Associate Professor
- Instructional/Clinical/Research Professor

### Non-promotion eligible:

- Visiting Assistant Professor
- Visiting Associate Professor
- Visiting Professor
- Visiting Scholar
- Scholar-(Writer, Composer, Artist)-in-Residence
- Lecturer
- Senior Lecturer
- Professor of Practice
- Affiliate Artist
- Research Scientist
- Senior Research Scientist
- Adjunct Faculty

## **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, merit salary increases, and voting rights.

## **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. When an endowed chair or professorship at the university level defers to university procedure, 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.

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. Details regarding eligibility, duration, etc. may be found at <http://www.uh.edu/provost/faculty/current/awards/>.

### **Emeritus**

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 and librarians, 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 and Librarian 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 and librarians 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 and librarians.

Emeritus faculty and librarians are expected to remain willing to assist and advise the System or university as requested, particularly in their areas of competence. For additional information on calls for nominations or other items, contact the Office of Provost.

## **Administrators with Faculty Rank**

When the principal candidate for an administrative position with faculty rank is chosen and is made an offer, the chair of the Search Committee forwards the candidate's vita and letters of recommendation to the academic department to which the faculty member will be assigned. The department conducts 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, as necessary. Authority to approve all executive management employee appointments, to the extent they are not System Executive Officers, is delegated to the Chancellor and will also be reported to the Board. The Board delegates to the Chancellor or his/her designee the authority to approve all other faculty, professional, and administrative actions. Executive management employees include persons serving in the following positions: Chancellor, Vice Chancellor, General Counsel, President, Vice President, Dean (Academic), Chief Audit Executive, and their equivalents (e.g., an administrative head of a recognized department reporting directly to the Chancellor or President). If the faculty appointment is made with tenure, this requires prior approval of the Chief Academic Officer (Provost). If the appointment involves the promotion of a tenured or tenure-track faculty member, it shall be subject to the approval of the Chancellor and Board of Regents upon recommendation of the President. No person shall be appointed Dean or equivalent, or Vice-President or equivalent, without prior consultation with the Chancellor and in accordance with the BOR Policy 57.10. No administrator may be given faculty status or tenure without a review and positive recommendation from the academic unit involved. *See also BOR Policy 57.10 Executive Management Employees and SAM 06.A.09 Academic Personnel Policies.*

## **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. Employment sponsorship of foreign nationals as full-time tenured or tenure track faculty or full-time promotion-eligible non-tenure-track faculty is covered by federal law and SAM 02.A.33. *For additional information: Human Resources Customer Service Center, 713-743-3988, or visit the website at <http://www.uh.edu/human-resources/>.*

## **Criminal Background Checks**

The university is committed to providing a secure and safe environment. Pursuant to SAM 02.A.37 and MAPP 02.03.05 (<http://www.uh.edu/af/universityservices/policies/>), employment is contingent upon the satisfactory completion of the criminal background check. A criminal background check must be conducted by anyone who is under final consideration following normal screening and selection processes for employment.

## 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 Executive Director for Human Resources or designee.

For more information call Human Resources Customer Service Center, 713-743-3988, see MAPP 02.05.01 (<http://www.uh.edu/af/universityservices/policies/mapp/>), or visit the website at <http://www.uh.edu/human-resources/>.

## Primary Spoken Language of Teaching Personnel

In accordance with the Texas Education Code, section 51.917 (<https://statutes.capitol.texas.gov/Docs/ED/htm/ED.51.htm>), 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 the Education Code, the University of Houston requires that all persons who are employed as faculty/teaching personnel self-declare their level of proficiency in the use of the English language. Should it be self-disclosed, or determined by the supervisor that a faculty member is not proficient in the English language, the faculty member must complete a course to become proficient at their own cost. For additional information, please contact the Office of Faculty Affairs for approved courses.

## Separation

**Separation** is defined as the process by which an individual terminates employment with the university. Three distinct modes of separation other than retirement are recognized:

**Resignation** is voluntary termination of employment by an employee.

**Non-reappointment** refers to a situation in which a non-tenured, tenure-track faculty member, or a promotion eligible non-tenure track faculty member, is not offered the next successive appointment at the end of a stated employment period. There is no assurance of renewal beyond the specified contracted time period for NTT non promotion eligible faculty.

**Dismissal** is the termination of employment of a tenured faculty member or of a probationary or non-tenured tenure track faculty member before the term of appointment has expired. Dismissal may be justified by one or more of the following: 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. (see Board of Regents Policy 21.07 <http://www.uhsystem.edu/board-of-regents/policies/>, and SAM 06.A.09, <http://www.uh.edu/af/universityservices/policies/sam/>).

When dismissal involves a tenured faculty member, consultation with the Provost and the Office of General Counsel shall be made prior to any official action. Subject to final approval by the Board of Regents, the Chancellor has the authority to dismiss faculty upon the recommendation of the President after full and appropriate university due process. Recommendations for dismissal of tenure-track faculty are reviewed and approved by the Provost. The authority to dismiss a non-tenure-track faculty member

prior to expiration of the specified term of appointment rests with the Provost. For full guidance, see Board of Regents [Policy 21.07](#) at <http://www.uhsystem.edu/board-of-regents/policies/>, and SAM 06.A.09 (<http://www.uh.edu/af/universityservices/policies/sam/>).

### **Justifications for Dismissal**

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.

C. **Medical 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. Untenured faculty will be given notice consistent with university non-reappointment guidelines.

### **Dismissal for Cause**

When the decision for dismissal is based upon adequate cause, dismissal of the faculty member shall be preceded by providing a written statement of charges to the faculty member, framed with reasonable particularity, from the Provost, and by filing the charges with the Grievance Committee, and 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 and an informal inquiry by the Grievance Committee, looking toward a mutual settlement. If these efforts at resolution are unsuccessful, the Grievance Committee may make a non-binding recommendation advising the Provost whether in its opinion dismissal proceedings should be undertaken.

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 in the following section.

## Dismissal Hearing Procedures

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 or designee. 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 and the Provost. 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.

#### ***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 and recommendation by the Provost, 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 statements, oral or written or both, by the faculty member and the 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 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 and review by the Provost, 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 Medical Reasons**

Termination of a tenured appointment or of a non-tenured or special appointment before the end of the period of appointment for medical 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 the financial exigency policy described below. 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, tenure track, and promotion-eligible NTT 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, tenure track, and NTT faculty with renewable employment agreements. 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, tenure track, and NTT faculty with renewable employment agreements 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 Committee, the Graduate and Professional Studies Committee, the Research and Scholarship Committee, 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 and the Provost 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 and the Provost. 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, the Provost 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, tenure track faculty and non-tenure track faculty with renewable employment agreements 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, tenure track faculty with at least eighteen months probationary service and NTT faculty with renewable employment agreements 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, tenure track, and NTT faculty with continuing employment agreements are reviewed by the Provost for recommendation to and action 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, genetic information, sexual orientation, or gender identity or expression 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, tenure track, and NTT faculty with renewable employment agreements and 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 to the extent allowed by law.

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, tenure track, and NTT faculty with renewable employment agreements 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 Committee, the Graduate and Professional Studies Committee, the Research and Scholarship Committee, 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 and Provost. 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 and the Provost.

- 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, the Provost, 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 on probationary contracts within a program shall be terminated before NTT faculty with renewable employment agreements. Non-tenure track faculty on probationary contracts or continuing contracts 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 or NTT faculty with renewable employment agreements 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, tenure

track, and NTT faculty with renewable employment agreements are reviewed by the Provost for recommendation to and action 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 229*). 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, tenure track, and NTT faculty with renewable employment agreements 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 to the extent allowed by law.

## **Alterations in Conditions of Employment**

### **Childbirth and Adoption Workload Redistribution Program**

The University of Houston (UH) has a vested interest in the long-term productivity and retention of its faculty. Workload redistribution programs are designed to provide flexibility in the obligations of tenured,

tenure track, and promotion-eligible non-tenure track faculty members at UH who are the primary or co-equal caregiver to a newborn infant, or to a newly adopted infant or child. In doing so, this program serves to protect the University's investment in its faculty while supporting the University's academic and research mission. See <http://www.uh.edu/provost/policies-resources/faculty/programs/>.

### **Reassignment of Duties**

Frequently faculty find external funding for research. In the event that any external compensation is paid by disbursement through the University's payroll, then the faculty member will remain in a paid status with the university, and compensated with third party funds. These research assignments are normally for one semester or one year. Depending on the terms and circumstances of the external funding, faculty may request an extension for up to a total of two years. Research assignments and extensions must follow college procedures and then be approved by the Provost.

### **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 five 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 Human Resources 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

three 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 no more than three years, with an annual renewal option 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.

## **General and Types of Leave Information**

All absences of members of the faculty must be conducted in accord with state law and university policy and shall be reported to the appropriate department chair, dean, or director, and on Time and Effort Reports (see MAPP 02.02.03). Detailed information about the various leave types, including policies, and procedures, can be found at <http://www.uh.edu/human-resources/benefits/leave-information/> or contact Human Resources.

### **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 (<http://www.uhsystem.edu/board-of-regents/policies/index.php>), Leaves of Absence, and Texas Education Code sections 51.101-108 (<https://statutes.capitol.texas.gov/Docs/ED/htm/ED.51.htm>).

Faculty development leaves, granted for either one academic year at one-half salary or for one long semester at base academic salary, provide an opportunity for full-time faculty to improve their professional effectiveness through research, writing, study, field observation, or other suitable professional activities. Faculty Development leaves with pay are awarded by the faculty member's college and approved by the Provost. Faculty Development leaves are designed for tenured faculty who have held full-time, tenure track positions at the University of Houston for at least seven years, except where that leave is supported by external funding.

Candidates must present justification for the time needed to conduct research or carry out professional development for an extended period. To apply for a Faculty Development leave, candidates submit their requests to the deans of their colleges, following college policies. The dean then forwards the request to the Provost for approval.

### **Development Leave for Administrators**

A faculty member who has held an administrative position with significant administrative duties, and is returning to a teaching position may be eligible for an academic semester of development leave at the faculty member's full regular salary, in order to improve their professional, research and teaching effectiveness before assuming full-time teaching responsibilities. In situations where the faculty member has held the administrative position at the University of Houston for more than four years, the development leave may be granted for one year. In accordance with Texas Education Code § 51.948, eligible administrators may also include department chairs or heads of programs. The administrator who

receives Development Leave must return to work at the University of Houston for the amount of time equal to the leave, or must repay the costs of the leave.

## 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, tenured, and non-tenure track promotion eligible faculty members. 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 members have the right to easily access the department and college guidelines electronically. Approved college and department promotion and tenure guidelines should be posted on the college and respective departmental websites for ready access. 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. These rights extend to all levels of review prior to a final decision being made by the Provost. 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>).

For detailed description of the tenure and promotion process for tenure-earning and tenured faculty, see <http://www.uh.edu/provost/policies/faculty/promotion-tenure/>.

For detailed description of the promotion process for promotion-eligible non-tenure track faculty, see <http://www.uh.edu/provost/faculty/current/non-tenure-track/>.

## Tenure

Tenure at the University of Houston is awarded by the Chancellor of the University of Houston System and President of the University of Houston, in the normal course of promotion and tenure review, 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 and the University Promotion and Tenure Committee. These recommendations result from an assessment of the individual's achievement and an estimate of future achievement. It is awarded on the basis of scholarship/research/creative work, teaching, 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 awarded at the University of Houston does not entail tenure at any other university of the University of Houston System and never applies to administrative appointments.

Tenure may be granted to tenure-track faculty members upon the successful completion of a probationary period at the University of Houston. With the approval of the Chief Academic Officer (Provost), new faculty offers of appointment with tenure may be made as provided in System Administrative Memorandum 06.A.09 Academic Personnel Policies. No person shall be appointed to the position of Dean or equivalent, or Vice President or equivalent, without prior consultation with the Chancellor and in

accordance with Board of Regents Policy 57.10 (<http://www.uhsystem.edu/board-of-regents/policies/index.php>) Executive Management Employees. No administrator may be given faculty status or tenure without review by and positive recommendations from the appropriate committees in the academic unit involved. Further, as outlined in section 3.2 of this policy, appointment with tenure requires recommendation by the University Promotion and Tenure Committee or a subcommittee of the University Promotion and Tenure Committee. Tenure at the University of Houston may not be granted or held if tenure is held simultaneously at another institution. 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 (see Board of Regents Policy 21.07 (<http://www.uhsystem.edu/board-of-regents/policies/index.php>) Faculty Dismissal, SAM 06.A.09 (<http://www.uh.edu/af/universityservices/policies/sam/>) Academic Personnel Policies, and current Faculty Handbook.

### **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, 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.

Faculty members who through no fault of their own are unable to obtain approved labor certification/Form I-140 Immigrant Petition at the time of tenure review eligibility and are still authorized to work in the United States will be eligible for continued employment and advancement of rank pursuant to the promotion and tenure guidelines as a non-tenured tenure-track faculty member, but will not be eligible for the accompanying award of academic tenure until permanent residency has been established.

If U.S. permanent resident status is denied, the faculty member shall be terminated from the university at the end of the current academic year in which he/she was notified of denial if at least a full long semester of the academic year remains, or by the end of the following long semester if less than a full semester remains in the current academic year in which he/she was notified of denial, or until the faculty member is no longer legally authorized to be employed with the university, whichever occurs sooner. Termination for failure to obtain U.S. permanent resident status shall not be grievable.

### **Appointment with Tenure**

For guidance regarding appointments with tenure please see the Provost's website, <http://www.uh.edu/provost/faculty/administrators/>

### **Non-renewal of Appointment of a Tenure Track Faculty Member**

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. See SAM 06.A.09 (<http://www.uh.edu/af/universityservices/policies/sam/>) Academic Personnel Policies.

- 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.

The appointment of an untenured tenure track faculty member is governed by the fact that Texas is an “at-will” state. The decision not to renew the appointment of an untenured 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 thirty 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.

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 Board of Regents Policy 21.07 (<http://www.uhsystem.edu/board-of-regents/policies/index.php>) Faculty Dismissal, SAM 06.A.09 (<http://www.uh.edu/af/universityservices/policies/sam/>) Academic Personnel Policies.

### **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, upon the approval of the Provost. The faculty member is responsible for notifying his/her Department Chair/department head and Dean in writing of a request for extension within six months of the birth or adoption of the child. Once approved by the Provost, the Department Chair/department head 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 and the Provost's office. See the current Provost's Promotion and Tenure Guidelines at <http://www.uh.edu/provost/policies-resources/faculty/promotion-tenure/> for detail.

## **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. See current Promotion and Tenure Guidelines for full detail (<http://www.uh.edu/provost/policies-resources/faculty/promotion-tenure/>).

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/department head 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.

## **Post-tenure Performance Review**

The goal of annual performance review, broadly, is to provide a general common framework applicable to **ALL** academic departments at the University of Houston (UH) within which they will conduct and manage their faculty annual performance review (F-APR) process (<http://www.uh.edu/provost/policies-resources/faculty/policies/performance/>). The development of this policy was guided by the central principle that faculty members not only deserve but should expect an open, fair, and transparent annual performance review process that, in turn, will be used to inform and guide decisions on how they should be rewarded. In enacting this policy, the Office of the Provost does not intend to dictate to individual departments or disciplines those faculty activities which they should value or reward, nor to determine the relative importance of one specific activity compared to another. However, in creating individual unit/departmental F-APR policies under this policy, it is incumbent upon the unit/department to ensure that the faculty activities identified as being of value and worthy of reward are also clearly aligned with the strategic goals of the unit, college, and university.

Post tenure performance review policies and procedures specifically are grounded in three principal academic values: peer review, academic freedom, and due process. For specific guidance related to post tenure review see Board of Regents Policy 21.11 (<http://www.uhsa.uh.edu/board-of-regents/policies/index.php>).

## Academic Freedom

As the American Association of University Professors (AAUP) describes, the University of Houston adheres to the principle that “Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole.<sup>2</sup> The common good depends upon the free search for truth and its free exposition. Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights” (<https://www.aaup.org/report/1940-statement-principles-academic-freedom-and-tenure>).

To establish and clarify the rights and responsibilities of the faculty pursuant to academic freedom, the University of Houston System Board of Regents has adopted BOR Policy 21.03 (<http://www.uhsystem.edu/board-of-regents/policies/index.php>).

- 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 personal pecuniary return should be based upon an understanding with the authorities of the component university.
- 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.
- 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 verbal or written comments. 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 and Faculty Workload

To carry out the core mission of the University, faculty members engage in a variety of activities that are traditionally categorized as teaching, research/scholarship and service. The discovery and dissemination of knowledge through research/scholarship, artistic and scholarly endeavors and service to the college, university, community, government agencies and professional organizations associated with the various university disciplines, combine with teaching to fulfill the academic workload requirements of faculty. Individual faculty member time and effort within these three categories will vary based upon the expectation, demands and responsibilities within the academic departments, disciplines and colleges. The effort individual faculty direct towards teaching, research/scholarship and service will also vary with the type of faculty appointment (tenured, tenure-track, non-tenure track) and national expectations in the disciplines at research intensive universities. Consistent with the goals and mission of the University of Houston, it is expected that the academic workload of faculty will be in line with those of other research-intensive universities.

Regardless of the type of faculty appointment, all full-time faculty members at the University of Houston are expected to work a minimum of 40 hours a week during the academic year. Expectations for faculty workload are based on whether or not the faculty member holds a tenured, a tenure-track or non-tenure track position.

Tenured or tenure-track faculty members are expected to engage in teaching, research/scholarship/creative activity and service, whereas non-tenure track faculty members are expected to expend the majority of their effort within the domain in which they were hired (i.e. clinical, instructional or research activities). In the case of tenured and tenure-track faculty members, total effort (i.e. 100%) is usually distributed across the three domains of teaching, research/ scholarship/creative activity. and service. For non-tenure track faculty, the majority of effort is usually expended within the domain in which they were hired (i.e. clinical, instructional or research activities) with any remaining effort distributed across the other domains (as dictated by the needs of the academic unit).

Please see MAPP 12.05.01 *University of Houston Faculty Workload Policy* for the full policy (<http://www.uh.edu/af/universityservices/policies/mapp/>). When faculty members also have administrative responsibilities, please be aware that additional supervisory requirements exist and must be met in order to be eligible for merit. Refer to the Office of Provost's web page for guidance (<http://www.uh.edu/provost/>).

## Standards of Conduct

State law establishes certain standards of conduct and ethics for all State employees, including UH faculty. Violations of these standards by any employee may result in disciplinary action up to termination of employment, as well as civil or criminal penalties. The standards prohibit conduct which would, or reasonably could, unduly influence employees in their duties, induce the disclosure of confidential information, impair independence of judgment, create conflicts of interest, or otherwise accept any benefit for having exercised their official duties in favor or another. For more information, see Tex. Govt. Code 572.051 (<https://statutes.capitol.texas.gov/Docs/GV/htm/GV.572.htm#572.051>) which is also distributed annually by email to each University employee.

## Conflicts of Interest

University of Houston System Board of Regents Policy 57.08 (<http://www.uhsystem.edu/board-of-regents/policies/index.php>) describes the expectations of all employees related to conflicts of interest and outlines Conflict of Interest prohibitions. All University employees must avoid conflicts of interest, 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. *See also* Tex. Govt. Code 572.051 (<https://statutes.capitol.texas.gov/Docs/GV/htm/GV.572.htm#572.051>).

Examples of conflicts of interest include, but are not limited to:

- 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.

For a full list of conflict of interest provisions applicable to all employees, including both faculty and staff, see Tex. Govt. Code 572.051, Board of Regents Policy 57.08 and SAM 02.A.09.

Failure of any employee to comply with state law and University/System policy shall constitute grounds for discharge or other disciplinary action. Additional Conflict of Interest requirements, including annual certification and disclosure, apply to research investigators involved in the design, conduct, or reporting of funded research. This policy is available on the Division of Research website (<http://www.uh.edu/research/>).

## **Grievances**

The University of Houston requires that all faculty members be treated fairly and consistently in all matters related to their employment. The university 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 may itself be grieved. This grievance policy applies to all faculty members (tenure-track and NTT). Detailed description of the grievance process may be found at <http://www.uh.edu/provost/faculty/current/grievance/>.

The grievance policy does not address allegations of unlawful discrimination, harassment or sexual misconduct. Any allegations of unlawful discrimination, harassment or sexual misconduct should be filed with the Office of Equal Opportunity Services (<http://www.uh.edu/equal-opportunity/>) in accordance with the University's Sexual Misconduct Policy (SAM 01.D.08) or the University's Discrimination and Harassment Policy (SAM 01.D.07), both found at <http://www.uh.edu/af/universityservices/policies/sam/>.

### **Grievances Involving Promotion and Tenure**

Grievance Procedures specifically relating to Promotion and/or Tenure Decisions can be found on the Faculty Grievance website; see <http://www.uh.edu/provost/faculty/current/grievance/>.

### **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. Learn more at <http://www.uh.edu/ombuds/>.

The Ombudsperson does not address allegations of unlawful discrimination, harassment or sexual misconduct. More information regarding allegations on these issues can be found through the Office of Equal Opportunity Services.

## Research, Scholarship, and Creative Activities

The University of Houston encourages all 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 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.

### Research Oversight Committees

#### Institutional Review Boards

The University of Houston's Institutional Review Boards (IRBs) are charged with the responsibility for reviewing all research involving human subjects, defined as "living individuals about whom an investigator (whether professional or student) conducting research obtains (1) Data through intervention or interaction with the individual, or (2) identifiable private information. IRB review is required whether such research is externally or internally funded, or non-funded. Review is based on the Belmont Report and in accordance with Department of Health and Human Services (DHHS) and United States Food and Drug (FDA) regulatory requirements as applicable. The IRB also considers additional requirements specific to funding agency, as well as the Health Information Portability and Accountability Act (HIPAA) and the Family Educational Rights and Privacy Act (FERPA) when applicable to a research project. Human Subjects Research falling under exempt criteria (45 CFR 46.101) requires IRB office review for adherence to principles of ethics and informed consent. IRB submissions are made through the IRB module of the Integrated Compliance Oversight Network (ICON) online system. Full detail on the Human Subjects/IRB process is found at <https://www.uh.edu/research/compliance/irb/>.

#### Payments to Human Subjects

Payments to research subjects and the protection of their confidentiality must comply with the guidelines of the funding agency, the Office of Contract and Grants, the University's Institutional Review Boards (the Committees for the Protection of Human Subjects or CPHS), and the Internal Revenue Service. Compensation must be approved by the IRB as part of the research protocol, be appropriate to the subject population and research procedures, and cannot be considered undue influence to participate. Researchers should consult with the college business administrator prior to starting the research project to determine the most appropriate method for paying subjects. *See MAPP Policy 05.02.04* (<http://www.uh.edu/af/universityservices/policies/mapp/>).

## **Institutional Animal Care and Use Committee**

The University of Houston Institutional Animal Care and Use Committee (IACUC), as mandated by federal law, oversees and evaluates all aspects of the university's animal care and use program and reports to the Vice Chancellor/Vice President for Research and Technology Transfer, who serves as the Institutional Official (IO). The IACUC is a committee of the university whose primary responsibilities include the review of animal research protocols (no animal work may begin until final approval is secured), oversight of the University of Houston's Animal Care and Use Program (primarily through semi-annual program reviews and facility inspections), post-approval monitoring of ongoing research, and conducting compliance investigations as necessary.

The IACUC ensures that animal research conducted at the University of Houston remains within full compliance with federal, state, and local regulations and institutional policies, as well as with requirements of the Association for Assessment and Accreditation of Laboratory Animal Care, International (AAALAC). The Committee, in tandem with Animal Care Operations (ACO), assists faculty, students, and staff in upholding the finest care and most humane utilization of laboratory animals. Inspections of all areas where animals are housed and used as well as a review of the institutional program for animal use are conducted by the IACUC semi-annually. The IACUC is not involved in the day-to-day business operations of ACO, with respect to billing, per diem charges, and/or housing assignments.

The IACUC shares with the investigator the responsibility for the ethical decisions made regarding the care and use of animals. The investigator, however, assumes the principal responsibility, and it is the investigator as well as other personnel involved in the care and use of animals that ultimately assures the fulfillment of the institutional commitment to uphold the values in ensuring the upmost care in the animal-based research at this institution. All projects involving live vertebrate animals, whether research laboratory or classroom based, must be reviewed and approved by the IACUC prior to animal acquisition and/or research initiation.

For more information, email [IACUC@central.uh.edu](mailto:IACUC@central.uh.edu) or visit the website at <https://www.uh.edu/research/compliance/iacuc/>.

## **Conflict of Interest Committee (Research)**

The university has both a federal and ethical responsibility to review, and manage as appropriate, significant financial conflicts of interest in research to avoid the potential for, or appearance of, bias in research outcomes. The Policy on Conflict of Interest in Research applies to all academic staff members who fall under the definition of Investigator. Specifically, the project director or Principal Investigator, and any other persons, regardless of title or position, who are responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding.

Certifications of Compliance are required to be submitted annually, based on a rolling due date, for those meeting the definition of Investigator, with disclosures required in cases involving potentially conflicting significant financial interests. Disclosures and management plans are reviewed by the UH Conflict of Interest Committee, who advises the Vice Chancellor/Vice President for Research and Technology Transfer, who is the designated Institutional Official.

*For more information, visit the website: <http://www.uh.edu/research/compliance/coi/>.*

## **Institutional Biosafety Committee**

The University of Houston Institutional Biosafety Committee (IBC) is responsible for the following:

- Assuring the safe use of recombinant or synthetic nucleic acid molecules, biological agents, and blood borne pathogens at the University of Houston.
- Reviewing and recommending acceptance or rejection of all proposed projects requiring registration and authorization through the Memorandum of Understanding and Agreement Process.
- Formulating and recommending changes in campus policy for the safe use of biological agents and complying with federal and state laws, regulations, and guidance standards.
- Authorizing Environmental Health and Life Safety (EHLS) to terminate or curtail any project or any teaching program involving the use of biological agents when it is in the best interest of the health and safety of the University of Houston Community.

*For more information contact: Environmental Health and Life Safety (EHLS), 713-743-5858, or visit the website at <http://www.uh.edu/ehls/>.*

## **Radiation Safety Committee**

The Radiation Safety Committee (RSC) is charged with ensuring that the UH'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 regulations. The RSC advises the UH administration including the President, the Executive Vice President for Administration and Finance, the Senior Vice President for Academic Affairs and Provost, and the Vice President/Vice Chancellor for Research & Technology Transfer about radiation hazards at the UH. The RSC operates under the functional authority of the Vice President/Vice Chancellor for Research & Technology Transfer.

The DSHS granted UH a Radioactive Material Broad Scope License in 1972 and subsequent X-ray and Laser Registrations. As required by the license and registrations conditions, a Radiation Safety Committee was appointed to formulate policies and procedures relating to radiation safety. Specifically, the RSC works with the RSO/LSO to:

- Review and grant permission for, or disapproval of, the use of radioactive material and/or radiation producing devices including lasers and x-ray machines at the UH.
- Review and prescribe special conditions, requirements and restrictions as may be necessary to protect UH faculty, staff, students, and the general public from health hazards associated with radioactive material and radiation producing devices at the UH.
- Prepare and disseminate information on radiation safety and provide safety training in the use of and requirements pertaining to radioactive material and radiation producing devices at the UH for the instruction and guidance of the faculty, staff, and students.
- Approve in advance, all structures and laboratories in which the uses of radioactive materials or radiation producing devices are planned, including new construction and modifications to existing facilities.
- Provide additional technical expertise to the Radiation Safety Program. Review and support the Radiation Safety Program and assist with solutions to issues arising from the use of radioactive materials and radiation producing devices.

- Shutdown or order the immediate termination of work in any facility where it is evident that health hazards exist and/or operations are in violation of existing federal, state, UH, and other applicable regulations.
- Investigate any possible misuse, apply and enforce any necessary disciplinary action, and notify the DSHS of any reportable incidents.

*For additional information:* Environmental Health and Life Safety (L), 713-743-5858, or visit the website at <http://www.uh.edu/ehls/>. Also see the Radiation Safety Manual at <http://www.uh.edu/ehls/about/manuals/>.

### **Safety Compliance Assistance**

The Division of Research (DOR) is the campus office charged with adherence to rules and regulations concerning safety matters relating to research. DOR cooperates with the Environmental Health and Life Safety (EHLS) Department, as necessary, to ensure compliance with these regulations, where appropriate (<http://www.uh.edu/ehls/>).

Faculty whose research involves the use of carcinogenic or toxic compounds, animals, human subjects, biological agents or toxins, recombinant/synthetic nucleic acid molecules, or radioactive materials, radiation producing devices (x-ray and lasers) are legally and ethically responsible to know and comply with all applicable regulations. The aforementioned committees are more fully discussed in the Compliance section of the Proposal Preparation Guide <http://www.uh.edu/research/sponsored-projects/proc-pol-guide/proposal-preparation/compliance-issues/>

Failure to comply with rules and regulations concerning safety matters related to research may jeopardize funding to the University of Houston.

### **Internal Funding**

The University of Houston's Division of Research and Office of the Provost provide various internal awards to support the development and dissemination of research within the university. A full list of internal research and related travel awards is available at <http://www.uh.edu/research/research-dev/internal-awards/>, <https://www.uh.edu/provost/faculty/current/grants/travel-fund/>, and <https://www.uh.edu/provost/university/postdocs/>.

### **External Funding**

The University of Houston encourages the seeking of external funds for research and scholarly activities. 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. The Office of Contracts and Grants (OCG), Pre-award within DOR assists faculty with these tasks. The OCG 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. The Division of Research provides extensive support in pursuit and support of external funding opportunities. Full detail can be found at <https://www.uh.edu/research/research-dev/>.

## **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 only when required by the sponsor. See <http://www.uh.edu/research/sponsored-projects/proc-pol-guide/indirect-costs/idc-explained/> for further explanation.

## **Processing of External Funds**

The appropriate processing of funds from external sources is an area of high importance. *Full detail on procedures and policy, refer to the Office of Contracts and Grants website at:* <http://www.uh.edu/research/sponsored-projects/post-award/>.

## **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. *For further information refer to the OCG proposal preparation guides and reference documents, available at* <http://www.uh.edu/research/sponsored-projects/rfs/>.

## **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 the Office of Contracts and Grants at 713-743-9222 or visit its website at* <http://www.uh.edu/research/sponsored-projects/proc-pol-guide/costing-practices/>.

## **Intellectual Property**

University research and intellectual endeavors often result 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 and educational activities, nor the duty of anyone engaged in research and educational activities, the Board of Regents desires that both society and the university under the governance of the Board use all knowledge to the greatest possible benefit. Accordingly, when appropriate, the 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. Definitions, processes, and protections for UH intellectual property are established in the UH System Board of Regents Policies, Section 21.08 (<http://www.uhsystem.edu/board-of-regents/policies/index.php>).

The IP process for inventors, a description of the IP committee, and UH IP policy may all be found at <http://www.uh.edu/research/tech-transfer/ip/>. The Office of Intellectual Property Management manages patents, copyrights and trademarks, and works with faculty and the Intellectual Property Committee to file patents for inventions. The principal goal is to foster research and scholarship through the effective transfer of University-wide technology to industry. For more information, see SAM 01.E.01

(<http://www.uh.edu/af/universityservices/policies/sam/>). Contact OIPM to discuss patenting, trademarking or licensing of technologies or inventions. A disclosure from (DOC) should be submitted to OIPM at least three months prior to disclosure via publication, grant application, presentation, or other medium.

## **Ownership and Infringements of Copyrights**

The University's policy regarding ownership of copyrights can be found at Board of Regent policy 21.08.4 (<http://www.uhsystem.edu/board-of-regents/policies/index.php>). The U.S. Copyright Law (Title 17 U.S. Code) governs 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. For more information about the University of Houston System Policy on the Digital Millennium Copyright Act, see *SAM 07.A.04* (<http://www.uh.edu/af/universityservices/policies/sam/>) *Digital Millennium Copyright Act*. For more information about copyrights, visit the U.S. Copyright Office at <http://www.copyright.gov>, especially their FAQ's at <http://www.copyright.gov/help/faq>.

## **Responding to Allegations of Research Misconduct**

The information in this section is not intended to encompass or replace the more extensive institutional policy required under federal regulations. The full policy is located on the Division of Research (DOR) website at (<http://www.uh.edu/research/compliance/res-misconduct/>). A simplified flowchart is also available for your convenience (<http://www.uh.edu/research/compliance/res-misconduct/Research%20Misconduct%20Flowchart.pdf>). For more information, please contact the Office of Research Policies, Compliance, and Committees at 713-743-9740.

## **Procurement Integrity Policy**

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. For current regulations and more detailed explanations, call the Office of Contracts and Grants at 713-743-9222.

## Teaching

The University of Houston is committed to providing 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 model a high standard of professional conduct with respect to both personal and corporate responsibilities and ways of dealing with ethical issues.
- B. Faculty are expected to respect the privacy of students' education records and information, in compliance with the Family Educational Rights and Privacy Act of 1974 (FERPA). With regard to student records, policies have been developed that are consistent with applicable federal and state laws and regulations. Faculty are expected to be familiar with and observe these policies, which can be found at <http://www.uh.edu/legal-affairs/general-counsel/protection-and-confidential-information/>. Additional information can be found in the UH student handbook under Student Records: Family Educational Rights and Privacy Act (<http://publications.uh.edu/content.php?catoid=27&navoid=9956>).
- 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. Some Colleges or Departments may require a longer retention timeframe. Faculty should review their College or Departmental policies.

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 Graduate School, or the Office of the Dean of Students. Policies prohibiting sexual harassment and other forms of sexual misconduct, can be found throughout this handbook and on the website of the Office of Equal Opportunity Services. See <http://www.uh.edu/equal-opportunity/>.

Faculty are expected to be familiar with all policies regarding academic programs, including those governing grading, advising, scheduling of examinations, and so forth. Selected policies are referred to below. For complete statements of all such policies, see the Undergraduate and Graduate online catalogues (<http://publications.uh.edu/>).

## Textbook Orders

Federal and State laws require advance notice of textbooks to be used in the subsequent academic period to help students know the textbook costs for a course and allow them time to find alternative purchasing options. Even if a course will not require a textbook, the University Bookstore needs to be notified in

order for the university to be in compliance. For more information on textbook requests, see <https://www.facultyenlight.com/?storeNbr=510>.

### **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. *See Board of Regents Policy 57.08.02 Conflicts of Interest.*
- D. In order to implement paragraph 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 paragraph C. above.

### **Examinations**

Guidance on examinations, including classroom, laboratory, and final exams, is found in the graduate and undergraduate catalogs. For details, see <http://publications.uh.edu/>.

### **Posting of Grades/Distribution of Student Work**

The University does not require and does not recommend the physical posting of grades. If grades are posted, student confidentiality must still be maintained. Accordingly, grades may 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. For more information, see the graduate and undergraduate catalogs at <http://publications.uh.edu/>.

For additional information, see the section below regarding Protection of Confidential Information.

## **Incomplete (I) Grades**

The grade of "I" (Incomplete) is a conditional and temporary grade assigned when students for non-academic reasons beyond their control have not completed a relatively small part of all requirements for a course. For guidance on assigning an Incomplete, see the graduate and undergraduate catalogs at <http://publications.uh.edu/>.

## **Dropping Courses**

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 (<http://publications.uh.edu/content.php?catoid=31&navoid=11767>) for the exact date. See <http://publications.uh.edu/> (academic catalogs) for guidance on process.

Through the last day to drop a course with a grade of "W," enrollment in a course may be terminated in any one of a number of ways. See the undergraduate and graduate catalogs for details <http://publications.uh.edu/>. 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 (6) "W" limit, the student will remain enrolled in the course and the instructor will assign the grade earned, which may be an "F."

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.

## **Medical and Administrative Withdrawal Policy**

### **Undergraduate Students**

*Undergraduate students* may visit the Office of Undergraduate Academic Affairs (UAA) to petition for medical or administrative withdrawals. This office can provide information on policy guidelines and required documentation. The deadline to file for emergency withdrawal is 140 days after the close of the term in which the course was taken.

Faculty and students should be mindful that medical and administrative withdrawal procedures require that a student be withdrawn from all courses for the semester and do not guarantee that the student will receive a refund for the semester's tuition and fees. Students referred to UAA may call 713-743-9112 or visit the office in 109 E. Cullen for assistance. Please see the Provost's student policies and resources page for more details (<http://www.uh.edu/provost/policies-resources/student/#dropinfo>). See also the Undergraduate Catalog policy on dropping courses for medical or emergency reasons (<http://publications.uh.edu/>) and on withdrawing courses for medical or emergency reasons.

## Graduate and Professional Students

Decisions regarding medical withdrawals begin at the local departmental/college level. However, the dean of the college and the Dean of the Graduate School must approve all medical and administrative withdrawals. Graduate and professional students who receive medical withdrawals must obtain permission from their college dean to enroll again at the University of Houston.

To view the Medical and/or Administrative Withdrawal Form, which includes descriptions of required documentation to accompany such requests, visit the *Graduate and Professional Studies Catalog* for policy information at <http://publications.uh.edu/>.

## Student Evaluations of Teaching

As required by Texas Education Code 51.974, 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.

## 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 (<http://www.uh.edu/af/universyservices/policies/mapp/>), which applies to both students and employees.

The university has also developed a student code of conduct, 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 the Student Code of Conduct in the University of Houston Student Handbook (<https://www.uh.edu/dos/behavior-conduct/student-code-of-conduct/>).

A faculty member who believes a student has violated the code of conduct should refer the actions of the student to the Dean of Students Office by submitting an "Incident Reporting Form." Upon receipt of the Incident Reporting Form, the Dean of Students Office will handle the matter in accordance with the code of conduct 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 materially 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 (both found at <http://www.uh.edu/af/universityservices/policies/mapp/>); see also the information from the Dean of Students (<https://www.uh.edu/dos/>) regarding Managing Disruptive Student Behavior, including their publication on this subject (<https://www.uh.edu/dos/behavior-conduct/disruptive-students/>).*

## **Freedom of Expression**

The University of Houston is committed to fostering a learning environment where free inquiry and expression are encouraged. To this end, the university has developed a Freedom of Expression Policy, which is encompassed in MAPP 13.01.01 (<http://www.uh.edu/af/universityservices/policies/mapp/>) which applies to both students and employees.

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 place reasonable time, place, and manner restrictions on expressive activities. Additionally, any activities that are unlawful or materially and substantially disruptive to the normal operations of the University including classes and University business activities will not be tolerated. The purpose of this policy is to provide for expressive activities to be conducted on University grounds 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/or federal laws may face immediate removal from the campus and/or other appropriate actions by University officials and University police.

The Freedom of Expression Policy is applicable to any non-curriculum related expressive activities (as defined by MAPP 13.01.01 at (<http://www.uh.edu/af/universityservices/policies/mapp/>) at locations on University grounds. This policy does not apply to official University activities. Those who wish to engage in an expressive activity (including literature distribution) may engage in such expressive activity in the University's common areas (e.g., University parks and sidewalks) without prior registration or approval. *For more information, see MAPP 13.01.01 (<http://www.uh.edu/af/universityservices/policies/mapp/>) regarding Freedom of Expression. Questions regarding this policy may be directed to the Dean of Students Office, Room 256, Student Center South, 832-842-6183, or visit the website at <http://www.uh.edu/dos/>.*

## Academic Honesty

The University of Houston 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. Procedures are designed to handle these cases in fairness to all concerned: the accused student, the faculty, and the University of Houston. The Academic Honesty Policy, as well as Frequently Asked Questions about the policy, can be found at <https://www.uh.edu/provost/policies-resources/honesty/>.

## Accommodating Students with Disabilities

The University of Houston provides a full range of resources in support of outstanding teaching, including the Center for Students with DisABILITIES (CSD). Each course instructor and any individual who teaches a course at any component or teaching center within the University of Houston System has an obligation to be aware of University of Houston System policies and procedures regarding equal educational opportunities for all of its students. An instructor may contact CSD's director/manager or their designee with questions or concerns.

The System requires that each instructor informs their classes at the beginning of each semester of the instructor's willingness to reasonably assist students with disabilities. The instructor will provide the class with the contact information of the Center for Students with DisABILITIES (CSD). It is the responsibility of Department Chairs to ensure that all instructors (i.e., faculty, teaching assistants, lecturers and others involved with instructional responsibilities) know and understand their obligations with regard to this policy. The System policy is contained in SAM 01.D.09 (<http://www.uh.edu/af/universityservices/policies/sam/>) – *Student Academic Adjustments/Auxiliary Aids Policy*.

Failure to follow the procedures of this policy may be considered a violation and may result in disciplinary action for the faculty member.

## Syllabus Content

Texas law mandates that the University post on its website a syllabus containing certain information for each undergraduate classroom course taught, along with a curriculum vitae of each regular instructor. See Texas Education Code § 51.974. Colleges or departments may have additional requirements for syllabi. The following syllabus suggestions or requirements are offered to enhance the utility of the syllabus.

### Resource Language

The University suggests that all course syllabi contain the following statement.

"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 adjustments/auxiliary aids for students who have a disability. In accordance with Section 504 and ADA guidelines, UH strives to provide reasonable academic adjustments/auxiliary aids to students who request and require them. If you believe you have a disability requiring an adjustments/auxiliary aids, please contact the Center for Students with DisABILITIES at 713-743- 5400 or <http://www.uh.edu/csd/>."

See SAM 01.D.09 – *Student Academic Adjustments/Auxiliary Aids Policy*.

Similarly, the following worded is suggested related to the Counseling and Psychological Services.

“Counseling and Psychological Services (CAPS) can help students who are having difficulties managing stress, adjusting to the demands of a professional program, or feeling sad and hopeless. You can reach CAPS ([www.uh.edu/caps](http://www.uh.edu/caps)) by calling 713-743-5454 during and after business hours for routine appointments or if you or someone you know is in crisis. No appointment is necessary for the “Let’s Talk” program, a drop-in consultation service at convenient locations and hours around campus.

[http://www.uh.edu/caps/outreach/lets\\_talk.html](http://www.uh.edu/caps/outreach/lets_talk.html)”

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

The university is required by Texas Education Code § 51.974 (<https://statutes.capitol.texas.gov/Docs/ED/htm/ED.51.htm#51.974>) to post on its website a syllabus for each undergraduate classroom course taught, along with the curriculum vitae for the Instructor of Record. See Information for Instructors of Record for details (<https://www.uh.edu/policies/hb2504/instructors-of-record/>).

### **Religious Holy Days**

The University of Houston respects the religious observances of students even though they may conflict with university class meetings, assignments, or examinations. More information on the University’s Religious Holy Days policy can be found in the Undergraduate Catalog and the Graduate Catalog at <http://publications.uh.edu/>. See also SAM 01.D.07 – *Anti-Discrimination Policy*.

### **Protection of Confidential Information**

University faculty members and staff deal with confidential information on a frequent, if not daily, basis. It is the responsibility of each individual to take appropriate steps to ensure the confidentiality of protected information to which they have access. The UH Office of the General Counsel has issued guidelines to assist University employees in their duty to protect information made confidential under federal and state law. Guidelines for protecting information routinely handled at the University of Houston include:

1. Social Security Numbers (<http://www.uh.edu/legal-affairs/contract-administration/pdf-documents/Guidelines%20for%20the%20collection%20and%20use%20of%20social%20security%20numbers%208-9-11.pdf>)
2. Educational Records – FERPA (<http://www.uh.edu/legal-affairs/general-counsel/Guidelines%20for%20Faculty%20and%20Staff%20relating%20to%20Educational%20Records%204-17-08.pdf>)
3. Customer Information – Gramm-Leach-Bliley (GLB) Act (<http://www.uh.edu/legal-affairs/general-counsel/GLB%20Act%20General%20Counsel%20Guidelines.pdf>)
4. HIPAA and Medical Privacy Guidelines (<http://www.uh.edu/legal-affairs/contract-administration/pdf-documents/HIPAA%20Guidelines%20%207.14.11.pdf>)

5. Security Incident Response Guidelines (<http://www.uh.edu/legal-affairs/contract-administration/pdf-documents/Security%20Incident%20Response%20Guidelines%207.14.11.pdf>)

For more information regarding Protection of Confidential Information, visit the Office of the General Counsel website at <http://www.uh.edu/legal-affairs/general-counsel/resources-and-policies/>. See also SAM 01.D.06 – Protection of Confidential Information (<http://www.uh.edu/af/universityservices/policies/sam/>). Questions regarding Student Records policies should be directed to the Office of the University Registrar (<http://www.uh.edu/about/offices/enrollment-services/registrar/>), 713-743-1010.

## **Student Services**

The university offers a number of services to assist students. Faculty should familiarize themselves with the full range of departments that provide services, which can be found at:

- Division of Student Affairs and Enrollment Services: <http://www.uh.edu/dsaes/departments/>. Additional information about resources may be found at
- UH Writing Center: <http://writingcenter.uh.edu/> ; and
- UH International Student and Scholar Services – <http://www.uh.edu/oisss/>.

## University-Wide Faculty Recognition and Honors

The Office of the Senior Vice President for Academic Affairs is proud to sponsor a number of awards for faculty, with the vision of promoting and recognizing excellence at the University of Houston. Full details may be found at <http://www.uh.edu/provost/faculty/current/awards/>.

# Public Safety

## Campus Carry Law – Guns on Campus

State law allows individuals to carry a *concealed handgun* on campus if they have a license to carry a handgun issued by the state of Texas. Under the law, a license holder may carry a gun on any area of campus that is not designated as an exclusion zone by UH policy. The list of exclusion zones on campus can be found at [http://www.uh.edu/police/campus-carry/MAPP\\_07.01.05\\_Appendix1.pdf](http://www.uh.edu/police/campus-carry/MAPP_07.01.05_Appendix1.pdf). Faculty and staff may not unilaterally designate any area of campus, including their offices or classrooms, as exclusion zones. Exclusion zone requests ([http://www.uh.edu/police/campus-carry/Exclusion\\_Zone\\_Form.pdf](http://www.uh.edu/police/campus-carry/Exclusion_Zone_Form.pdf)) must be based on the criteria established in the UH Campus Carry Policy, and submitted to [campuscarry@uh.edu](mailto:campuscarry@uh.edu) for approval.

Faculty and staff may not store handguns overnight on University property, unless stored in Secure Storage Area. Temporary storage by an employee who is licensed to carry is permitted during the employee's work shift in a locked cabinet, drawer, or gun safe in their office while the employee is present in the office. Storage is not permitted in gym lockers or other lockers in public areas.

Open carry of weapons is not allowed on campus. Any gun that is not concealed is unlawful, even in a non-threatening situation. If you see someone carrying a gun, do not confront the person, which may escalate the situation; instead, call the UH Police Department immediately at 713-743-3333. More information can be found at MAPP 07.01.05 – Campus Carry Policy (<http://www.uh.edu/af/universityservices/policies/mapp/>) and on the UH Police Department campus carry website, <http://www.uh.edu/police/campus-carry/>.

## University of Houston Police Department

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 bike registrations. For more information, see <http://www.uh.edu/police/resources.html> or call 713-743-3333.

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. Learn more about UHPD at <http://www.uh.edu/police/>.

## 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.

## **Fire Marshal's Office**

The University Fire Marshal's Office insures that all buildings and activities meet Fire and Life Safety Codes as adopted. Fire and Life Safety involves everyone in every area of the university and refers to the prevention of fire, accidents, injury, and property damage. Through inspections, fire safety equipment is checked and maintained; food safety standards are adhered; and safety concerns such as frayed electrical cords, trip hazards, broken or inappropriate equipment and fire hazards are identified and removed. Through design and plan review, architects and engineers are assisted in ensuring that fire and life safety measures are built into areas under construction. Through the Office of Emergency Management ([www.uh.edu/oem](http://www.uh.edu/oem)), assistance is available to develop specific building emergency response plans. Through training, classes are available for evacuation planning, fire and life safety, fire extinguishers, and food safety. *For information on Fire and Life Safety, please visit the website at <http://www.uh.edu/ehls/fire/>.*

## **Violence on Campus**

The University seeks to provide a safe environment for learning and work. To foster a safe and supportive working/learning environment, the University provides police services and intervention, and – where appropriate – counseling, training, and education about violence and prevention of violence for employees (including both faculty and staff) and students.

UH will not tolerate physical or non-physical acts of violence or behaviors of concern, including threatening another with physical injury, or touching another in a way the individual knew would be considered offensive or provocative. Such acts are a violation of the law and of University policy.

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 (UHDPS) by calling 911 or 713.743.3333. 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. Faculty who become aware of a situation involving a less immediate threat should contact the Provost's Office.

*For additional information visit MAPP 07.02.03 Violence on Campus (<http://www.uh.edu/af/universityservices/policies/mapp/>).*

## **Operation of the University of Houston under Emergency Conditions**

An individual who becomes aware of a potential emergency, should contact the UH Police Department at 713-743-3333 or call 911. For information during a campus emergency call, visit the UH ALERT Emergency Notification website at [www.uh.edu/emergency](http://www.uh.edu/emergency). 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.

The University's procedures are described in MAPP 06.01.01 (<http://www.uh.edu/af/universityservices/policies/mapp/>) and the UH Emergency Management Plan (<http://www.uh.edu/emergency-management/planning-and-response/emergency-management-plan/>). 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.

In particular, the class 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 [www.uh.edu/emergency](http://www.uh.edu/emergency). *For additional information visit the MAPP 06.01.01 website at <http://www.uh.edu/af/universityservices/policies/mapp/>.* Resources for faculty on how to prepare and respond to an emergency in a classroom are available at [www.uh.edu/oem/faculty](http://www.uh.edu/oem/faculty).

## **Environmental Health and Life Safety**

The mission of Environmental Health & Life Safety (EHLS) is to support higher education and research in conjunction with the University community by promoting healthy and safe operations. The vision of EHLS is to achieve a university culture in which safety and health are core values.

EHLS is composed of the Fire Marshal's Office, and the components of the former EHS (chemical, biological, radiological, occupational safety and environmental protection.) For more information please contact Environmental Health and Life Safety at 713-743-5858 or visit us at [www.uh.edu/ehls/](http://www.uh.edu/ehls/). A list of Fire and Life Safety Code, Environmental Health and Life Safety Manuals, and EHLS policies and procedures may be found at <https://www.uh.edu/ehls/about/manuals/>.

## Oversight and Resources

The University of Houston has provided important resources for both faculty and staff to maximize the positive experience you have with the University of Houston.

### University Libraries

The University of Houston libraries serve UH students, faculty, staff, and the scholarly community. 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 and archival collections, maps, and other library materials. The UH Digital Library (<http://digital.lib.uh.edu/>) contains more than 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. For additional information, visit the website at <http://libraries.uh.edu>.

### University Information Technology (UIT) and Departmental IT

#### Services and Resources

The University of Houston improves 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 myUH (PeopleSoft) and Blackboard, computer accounts, and multi-media equipment in general purpose classrooms. Information on more faculty resources can be found at <http://www.uh.edu/uit/faculty-guide>.

UIT has developed the Technology Partners Program (TPP) to coordinate IT initiatives with college and division IT staff. The Technology Partners Program communicates, connects, and collaborates with the university's technology leaders - internal UIT, departmental technology managers, faculty, staff and administration - to empower them and help them to make informed decisions regarding UH information technology systems. A full description of services can be found at <http://www.uh.edu/infotech/>.

#### Policies and Security

The University of Houston and UH System have adopted a set of policies that provide faculty with guidance in the use of UH technology and acceptable use of information resources. All UH employees are required to review and accept the policies as part of annual faculty/staff training. Failure to comply with policies may result in loss of access privileges to UHS Information Resources or other disciplinary action up to and including termination.

These policies can be found in the Manual of Administrative Policies and Procedures (MAPP) and System Administrative Memoranda (SAM) on the UH website:

- UHS: <http://www.uh.edu/af/universityservices/policies/sam/7InfoServices.htm>
- UH: <http://www.uh.edu/af/universityservices/policies/mapp/10mappit.htm>

To protect the security of university information, faculty should take the following precautions with email messages:

- Be extra critical of all emails you may receive. “Phishing” emails are used to “fish” for personal information (such as user ID and password). Phishing messages often look official, may appear to come from someone at UH or other reputable companies with links to fake websites. These websites are used to collect your user ID and password, which allows the phisher to use your email account to send out more messages.
- Do not open email messages with attachments you are not expecting, instead delete the message.
- Do not click on links embedded in messages which may be designed to trick you. HOVER over the link (don’t click!) to DISCOVER the website where the link is really taking you.
- Do not reply to spam or click the “Remove from mailing link” in a spam message.
- If there is ever a question about whether a message is phishing, forward the message to security@uh.edu for an Analyst to review the message and advise on its authenticity.

## Office of Equal Opportunity Services

### Equal Opportunity and Non-Discrimination Statement

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. The official University of Houston *Equal Opportunity and Non-Discrimination Statement* can be found in SAM 01.D.05 (<http://www.uh.edu/af/universityservices/policies/sam/>). *For more information regarding the Discrimination and Harassment policy, please visit the Office of Equal Opportunity Services website at <http://www.uh.edu/equal-opportunity/> or call 713-743-8835.*

### Anti-Discrimination Policy

The University of Houston System is committed to maintaining and strengthening an educational, working and living environment where students, faculty, staff, and visitors are free from discrimination and harassment of any kind. Discrimination and harassment are antithetical to the standards and ideals of the University. The University will take appropriate action in an effort to eliminate discrimination and harassment from occurring, prevent its recurrence and address its effects. The official University of Houston *Anti-Discrimination Policy* can be found in SAM 01.D.07. *For more information regarding the Discrimination and Harassment policy, please visit the Office of Equal Opportunity Services website at <http://www.uh.edu/equal-opportunity/> or call 713-743-8835.*

### Sexual Misconduct Policy

Sexual misconduct is a broad term encompassing a range of non-consensual sexual activity or unwelcome behavior of a sexual nature. The term includes sexual harassment, nonconsensual sexual contact, sexual assault, sexual exploitation, stalking, dating violence and domestic violence. The University’s Sexual Misconduct Policy is found SAM 01.D.08 at [https://uhsystem.edu/compliance-ethics/\\_docs/sam/01/1d8.pdf](https://uhsystem.edu/compliance-ethics/_docs/sam/01/1d8.pdf), which defines and describes prohibited sexual conduct and establishes a procedural mechanism for processing complaints of sexual misconduct. *For more information regarding the Sexual Misconduct Policy, please visit the Office of Equal Opportunity Services website at <http://www.uh.edu/equal-opportunity/> or call 713-743-8835.*

### Duty to Act and Report

In accordance with both the Anti-Discrimination Policy and Sexual Misconduct policy, a duty to act is imposed on all persons to take reasonable and necessary action to prevent unlawful discrimination and

harassment and for responding promptly and thoroughly to any such claims. Upon learning directly or indirectly of conduct or behavior that might violate said policies, all persons shall report the conduct or behavior to the Equal Opportunity Coordinator for advice and assistance on addressing the matter. A person who fails to act may be found to have violated these policies, even if the underlying event does not constitute unlawful discrimination, harassment, or sexual misconduct.

### **Consensual Relationship Policy**

The University of Houston is committed to maintaining a positive educational and working environment that is free from conflicts of interest, favoritism, and exploitation. The University recognizes that consenting individuals associated with the University should generally be free to enter into personal relationships of their choice. However, such relationships must not risk undermining the essential educational purpose of the University or risk undermining the workplace and learning environment. As a result, the University prohibits any consensual dating, intimate, romantic, and/or sexual relationship between:

- a) An employee (including staff, faculty, or student employees),  
and
- b) An individual that the employee has responsibility as a part of their job duties to teach, instruct, manage, supervise, advise, counsel, oversee, grade, coach, train, treat, or evaluate in any way.

Additionally, the University prohibits consensual dating, intimate, romantic, and/or sexual relationships between faculty and undergraduate students. Only the Assistant Vice Chancellor/Vice President for Equal Opportunity Services or designee is authorized to grant exceptions to this policy. *For more information, see SAM 01.D.10 Consensual Relationship Policy (<http://www.uh.edu/af/universityservices/policies/sam/>).*

### **Sanction of Faculty for Violating Equal Opportunity Policy**

If the Office of Equal Opportunity Services finds a violation of either the Anti-Discrimination Policy, the Sexual Misconduct Policy or the Consensual Relationship Policy against a faculty member, it will recommend appropriate university action. These policies provide the exclusive mechanism for managing the non-criminal reporting, processing, investigation, and resolution of discrimination and sexual misconduct complaints. Any sanction imposed on the faculty member will be determined by and implemented by the appropriate administrator after consultation with the Office of Equal Opportunity Services. Appeals/Grievances relating to sanctions assessed by the appropriate administrator must be addressed through the standard faculty grievance procedure.

### **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 Americans with Disabilities Act (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 [eos@uh.edu](mailto:eos@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 (<http://www.uh.edu/equal-opportunity/forms/>) and then submit a copy of the

completed form to his/her supervisor and the original of the completed form to the ADA Coordinator. 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 more information regarding the Reasonable Workplace Accommodation for Employees with Disabilities Policy, see SAM 02.E.09 (<http://www.uh.edu/af/universityservices/policies/sam/>) or visit the Office of Equal Opportunity Services ADA website at <http://www.uh.edu/equal-opportunity/ADA-504/>.*

## **Institutional Compliance and Ethics Program**

The University has implemented an Institutional Compliance and Ethics Program, in order to promote and support a culture at the University of Houston which builds compliance consciousness into the daily activities of the University and encourages all employees to conduct University business with honesty and integrity. *For more information, see the Institutional Compliance and Ethics website (<http://www.uh.edu/compliance/>).*

### **Reporting/Investigating Fraudulent Acts**

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 (1-800-892-8348) or visit the website at <http://www.sao.state.tx.us/>. Anonymous reports can also be made via the web at the Fraud & Non-Compliance Hotline (<https://app.convercent.com/en-us/LandingPage/b3d1c670-e06c-e711-80cf-000d3ab0d899>) or by calling 1-800-461-9330.
- 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 and/or an appropriate law enforcement authority.
- 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 an appropriate law enforcement authority. For more information, see the University's Institutional Compliance and Ethics Program website (<http://www.uh.edu/compliance/>).

### **Fraud & Non-Compliance Hotline**

The university uses an online and/or telephone hotline, for university employees to anonymously 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 Fraud & Non-Compliance Hotline may choose to remain anonymous. To report fraud or non-compliance, call 1-800-461-9330 or go to <http://www.uh.edu/compliance/compliance-hotline/>.

Some faculty concerns may be more appropriately addressed through the Office of Ombuds Services (<http://www.uh.edu/ombuds/>) or standard faculty grievance procedures.

### **Protection for Whistleblowers**

The Texas Whistleblower Act protects public employees who make good faith reports of violations of law by their employer to an appropriate law enforcement authority. An employer may not suspend or terminate the employments of, or take other adverse personnel action against, a public employee who in good faith makes a report under the Act. *See* Tex. Govt. Code §554.002(a) (<https://statutes.capitol.texas.gov/Docs/GV/htm/GV.554.htm#554.002>).

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 Fraud and Non-Compliance Hotline at 1-800-461-9330, or go to <https://app.convercent.com/en-us/LandingPage/b3d1c670-e06c-e711-80cf-000d3ab0d899>.

### **Other Health Policies and Faculty Supports**

Faculty are encouraged to familiarize themselves with the full set of policies, procedures, and supports available to maximize success on campus. A full list may be found at <http://www.uh.edu/faculty-staff/> and <https://www.uh.edu/provost/faculty/current/benefits/>.

### **Tobacco-, Smoke, and Vape-Free Campus Policy**

The Tobacco-, Smoke, and Vape-Free Campus Policy (<http://www.uh.edu/policies/tobaccofree/>) is part of the university's commitment to creating a healthy and sustainable environment for all members of the UH community, and is designed to be positive and health-directed. The university is not requiring faculty, staff and students to quit using tobacco or vaping products, but does expect the policy to be adhered to by all individuals on university property. See MAPP 07.02.02 – *Tobacco-, Smoke-, and Vape-Free Campus Policy*.

### **Additional University of Houston Policies**

#### **Contract Administration Policy**

Prior to engaging in any service related agreement, contact your college administrator responsible for contract management. 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 Board of Regents Policy 57.01 (<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/>) and MAPP 04.04.01A (website: <http://www.uh.edu/af/universityservices/policies/mapp/>) 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 permits, citations or towing; purchases of goods or services from university auxiliary operations; payment for tuition, fees, or housing; library fines; Student 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 at <http://www.uh.edu/af/universityservices/policies/mapp/>.*

## **University Financial Policies**

University policies related to finance and financial accountability may be found in the Manual of Administrative Policies and Procedures (<http://www.uh.edu/af/universityservices/policies/mapp/>), the UH System Administrative Memoranda (<http://www.uh.edu/af/universityservices/policies/sam/>), and the Board of Regents Policies (<http://www.uhsystem.edu/board-of-regents/policies/index.php>). 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/>.*

## **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 (<http://www.uh.edu/af/universityservices/policies/sam/>) and MAPP 05.02.02 (<http://www.uh.edu/af/universityservices/policies/mapp/>):

- A. Expenses for recruiting new faculty or entertaining official guests of the university;
- B. Conferences, workshops, seminars, meetings, or retreats for university personnel;
- C. Receptions or functions of a social nature for university personnel;
- D. Tickets to concerts, plays, or athletic events for fund raising or recruiting faculty;
- E. Flowers (cut flowers, floral arrangements, potted plants, corsages) for official functions or award ceremonies;
- F. Gifts and Awards;
- G. Business Meals;
- H. Club memberships that benefit the university; and
- I. Itemized alcoholic beverages.

Expenditures that are 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/> or MAPP 05.02.02 website at <http://www.uh.edu/af/universityservices/policies/mapp/>.*

### **Nepotism Policy**

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 additional information, see Board of Regents Policy 57.07 – Nepotism (<http://www.uhsystem.edu/board-of-regents/policies/index.php>). See also SAM 02.A.21 Nepotism at <http://www.uh.edu/af/universityservices/policies/sam/>.*

### **Debarment and Suspension**

Executive Order 12549 and FAR 52.209-5 called for the creation of a government wide debarment and suspension system in connection with all transactions with federal agencies. Applicants for federal funds are required to certify that neither they, their principals, nor their researchers:

- Are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.
- Have, within a 3-year period preceding an application, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion [(3/26/96 for procurement) - 1/26/96 Fed. Reg]. or receiving stolen property.
- Are presently indicted or otherwise criminally or civilly charged by a government entity (federal, state, or local) with commission of any of the offenses enumerated in (2) above.
- Have, within a 3-year period preceding this application, had one or more public transactions (federal, state, or local) terminated for cause or default.

In this case, the applicant is the institution, the principals are members of the Board of Trustees or senior administrative staff, and researchers are the faculty and their professional colleagues who undertake such research activities.

The University of Houston treats this requirement as a "negative certification," i.e., that no principals or researchers at the institution are debarred, suspended, or proposed for debarment or suspension.

Any individual who meets any of the conditions bulleted above must immediately notify the Division of Research, Office of Contracts and Grants at 713-743-9222.

## **University Employee Governmental Appearances**

Per the UHS Board of Regents Policy 81.01 (<http://www.uhsystem.edu/board-of-regents/policies/index.php>), 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.

## **Benefits**

The University of Houston offers a variety of benefit programs to benefits-eligible employees as part of its employment and compensation package. As an employee, you have the ability to select benefits that may be individualized to meet your needs and those of your dependents. Please be aware that dependent eligibility is subject to occasional audits by the Employees Retirement System of Texas or their designee.

Automatic state benefits include sick leave, paid holidays and a retirement program. Optional benefits include health and dental insurance, life insurance, disability insurance and supplemental retirement programs. For a full description of benefits, see <http://www.uh.edu/human-resources/benefits/>.

## **Faculty Administrators**

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. 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 is usually not allowed on sponsored project funds.

#### ***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**

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.

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.

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.

### **Vacation Accrual for Faculty**

A faculty member who is employed with the university on less than a twelve month contract does not accrue vacation time. A faculty member who accumulates vacation time as the result of appointment 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. 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. A faculty member with a twelve-month appointment will accrue vacation according to the schedule for staff and is 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. For more information on vacation leave, see Texas Govt. Code §§ 661.152, 661.062, SAM 02.D.01 – *Vacation and Sick Leave*, and MAPP 02.02.03 – *Leaves of Absence*.

### **Vacation Accruals for Faculty with Appointments Funded by Contracts and Grants**

A faculty member who accumulates vacation time as the result of appointment 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.

### **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, Zipcar, and can assist in setting up carpools and vanpools. A full description of services may be found at <http://www.uh.edu/af-university-services/parking/>.

### **Facilities Management**

Facilities Management (FM) is responsible for providing the long term preservation and growth of the university's physical asset through responsible service for facility needs and repairs. The FM Facilities Service Center (FSC) acts as the university's central point of contact for facilities damage/usage concerns and processing facility work order requests for service, 24 hours a day 7 days a week.

To report facility problems or request service: 1) Self-service - log onto AccessUH and click on the FIX-IT work order system logo; 2) call 713-743-4948 (on campus dial 3-4948); text or email to [fixit@uh.edu](mailto:fixit@uh.edu); or 3) come to the lobby service window of the General Services Building, #585, 4211 Elgin. To obtain keys to building offices, complete the key request form at <http://www.uh.edu/facilities-services/services/access-control-shop/index.php>.

## **Dining Services**

There are a variety of venues for dining on campus, including two all-you-care-to-eat residential dining halls, more than 30 retail restaurants and a full-service catering department. For details and locations, please visit UH Dining Services website at [www.uh.edu/dining](http://www.uh.edu/dining).

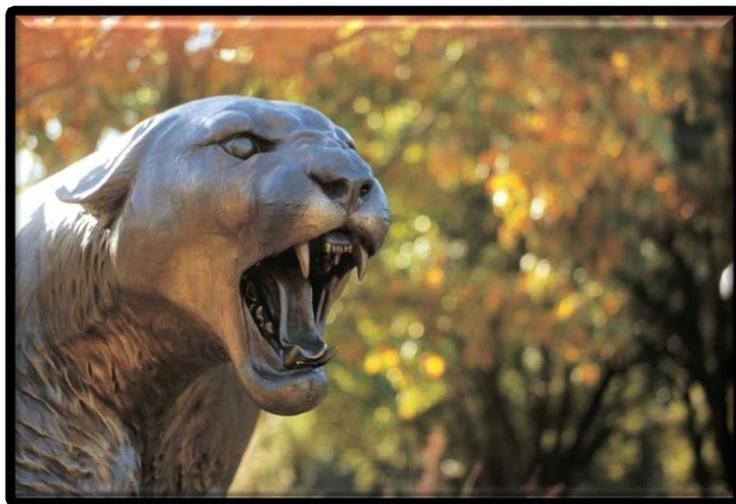
## Guidelines for Faculty Handbook Revision

- 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, 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.
- J. As standard practice, the Faculty Senate will annually review the *Faculty Handbook* (on or around May 1) to ensure that links are updated.

## Faculty Handbook Committee, 2019 Edition

### **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, H2005; FAX, 713-743-9184; e-mail, [fsenate@central.uh.edu](mailto:fsenate@central.uh.edu). Your input will be used to improve the next edition.



**2019 University of Houston Faculty Handbook**