

# Faculty Handbook

## University of Houston

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

The University of Houston is one of three public universities in Texas with the designation of Carnegie Top Tier Institution. This academic year, the University of Houston has been named one of the nation's best colleges by the *U.S. News & World Report* and has been ranked by the Princeton Review as one of "The Best 377 Colleges" and "Best Value Colleges".

The University of Houston is an Affirmative Action/Equal Opportunity employer. The university provides equal treatment and opportunity to all persons without regard to race, color, religion, national origin, sex, age, disability, veteran status, or genetic information except where such distinction is required by law. Additionally, the university prohibits discrimination in all aspects of employment on the basis of sexual orientation, gender identity or gender expression.

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

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

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



UNIVERSITY OF HOUSTON SYSTEM  
UNIVERSITY OF HOUSTON

Office of the Chancellor, University of Houston System  
Office of the President, University of Houston

June 2015

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 40,000 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

212 E Cullen Building • Houston, TX 77204-2018 • 713.743.8820 • Fax: 713.743.8837

UNIVERSITY of HOUSTON  
FACULTY SENATE

<http://fs.uh.edu>

306 M . D. Anderson Memorial Library  
Houston, Texas 77204 - 2005  
Office: (713) 743-9181  
Fax: (713) 743-9184

August 1, 2015

Dear Colleague,

In the immortal words of Douglas Adams, "Don't Panic!" No, it's not *the Hitchhiker's Guide to the Galaxy*, it is the 25<sup>th</sup> edition of the *UH Faculty Handbook*. However, these pages are intended to assist you as a faculty member working in this particular world of academe.

This handbook is revised every two years as a joint effort of the Faculty Senate and the University of Houston Administration. One might say this handbook is the incarnation of fifty years of effort. Certainly the intrepid band of faculty and administrators working on this revision feel it has been that long, but it has been less than a year. What this book represents is an excellent example of the active shared governance that exists at UH.

This volume contains helpful information about University of Houston policies and procedures that pertain to faculty activities, faculty responsibilities and rights, and information about resources and services available to faculty on campus. We hope you find it a spell-binding page turner. At the very least we hope it assists you in your daily University life. Please bookmark <http://fs.uh.edu> to reference this compendium.

I would like to thank the Faculty Handbook Revision Committee, as well as the Faculty Senate staff, for their hard work and dedication in producing the current *Faculty Handbook*.



Wynne W. Chin, Ph.D.  
President, Faculty Senate 2015



HOUSTON'S CARNEGIE DESIGNATED TIER ONE PUBLIC RESEARCH UNIVERSITY

## Note to Faculty

### Definitions:

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

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

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

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

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

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

### Handbook Availability

Since 2000 the handbook has been available online at <https://fs.uh.edu/FacultyResources.aspx>.

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

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

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

These copies should be made available for review upon request.

### Important Changes and References:

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

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

For the most current *Faculty Handbook*, visit <https://fs.uh.edu/FacultyResources.aspx>

# Table of Contents

Preface	1
Letter from University of Houston System Chancellor and University of Houston President	2
Letter from the University of Houston Faculty Senate President	3
Note to Faculty	4
<b>Table of Contents</b>	<b>5-21</b>
<b>Mission</b>	<b>22</b>
University of Houston Goals	22
<b>General Information</b>	<b>23-34</b>
Administration	22-27
University of Houston System Board of Regents	23
Board of Regents Information	24
University of Houston System Administration	25
University of Houston System Presidents	25
University of Houston Administration	26-28
The University of Houston: An Introduction	29-30
History	29
Description of Faculty, Students, Staff and Academic Programs	29
Accreditation: Commission on Colleges, Southern Association of Colleges and Schools	30
Office of Equal Opportunity Services	31-33
Discrimination and Harassment Policy	31
Inquiries/Complaints Directed to University's Office of Equal Opportunity Services	31
Statement of Non-discrimination	31
Sexual Misconduct Policy	31
Duty to Act and Report	31-32
Sanction of Faculty for Violating Equal Opportunity Policy	32
Accommodation for Faculty	32
Reporting/Investigating Fraudulent Acts	32-33
MySafe Campus	33
Protection for Whistleblowers	33
Ombudsperson	33-34
<b>Shared Governance</b>	<b>35-39</b>
Faculty Senate	35

University Standing Committees	35-37
Procedure	35-36
List of UH Standing Committees	36-37
Other Governance Bodies	37-40
University of Houston Alumni Association	37
Staff Council	38
Student Government Association	38
University Coordinating Commission	38
Advisory Committees to the Executive Vice President for Administration and Finance	38
Decision-making Cycle	39
College and Department Bylaws	39
<b>University Policies and Procedures</b>	<b>40</b>
Administrative Policies	40
Academic Policies	40
Amending Policies Regarding Faculty Roles	40
<b>Academic Personnel Policies and Procedures</b>	<b>41-105</b>
Academic Freedom	41
Expectations of Faculty with Teaching Responsibilities	41
Faculty Appointments	42-44
Definitions	42-44
Appointment	42
Term of Appointment	42
Designations of Faculty Positions/Titles	42-43
Tenure Track Positions	42
Instructor	42
Assistant Professor	42
Associate Professors	42
Full Professors	42
Non-tenure Track Positions	42-43
Lecturer	42
Instructor	42
Adjunct Faculty	42-43
Visiting Professor	43
Research Faculty	43
Clinical Faculty	43

Instructional Faculty	43
Part-time Faculty	43
Joint Appointments	44
Separation	44
Resignation	44
Non-reappointment	44
Dismissal	44
Tenure	44
Promotion	44
Distinguished and Named Professors	45-46
Standards for Distinguished and Named Professors	45-46
Terms and Reviews of Distinguished and Named Professors	46
Emeritus Status	47
Eligibility for Employment	48-49
Nepotism Policy	48
Employment of Non-citizens	48
Primary Spoken Language of Teaching Personnel	48-49
Criminal Background Checks	49
Faculty Position Approval and Search Procedures	50
Affirmative Action Procedures on Search Committees	50
Moving and Relocation Expenses	51
Personnel Records	51
Policies and Procedures Governing Specific Faculty Groups	51-59
Administrators with Faculty Rank	51
Research Faculty	51-53
Clinical Faculty	53-54
Instructional Faculty	54-56
Librarians	56
Part-time Faculty	56
Graduate Student Assistantships	56-58
Definitions	56-58
Mandatory Employment Discrimination Training	57-58
Graduate Tuition Fellowship	58
Summary of University Graduate Regulations and Policies	58-59
<b>Promotion and Tenure</b>	<b>60-77</b>
General Overview Policies	60-61



Criteria and Standards for Promotion and Tenure	61
University Criteria	61
Criteria by Rank	61
Departmental/College Criteria	61
Tenure	62
Tenure for Non-citizens	62-63
Appointment with Tenure	63
Probationary Period	63-64
Review during Probationary Period	64
Non-renewal of Appointment of a Tenure Track Faculty Member	64-65
Time in Rank	65
Extension of Probationary Period for Childbirth or Adoption	66
Extension of Probationary Period for Emergency Purposes	66
University of Houston Promotion and Tenure Committee	66-67
<b>Promotion and Tenure Guidelines</b>	68-77
University Procedures for Tenure Reviews	68-74
Departmental/College Reviews	68-70
University Reviews	70-71
Procedures for Non-mandatory Reviews	71
External Reviews	71-72
Applicant's Portfolio/Electronic Folder	72-74
Grievance in Promotion and Tenure Matters	75
University of Houston Promotion and Tenure Grievance Procedures	76-77
<b>Post-tenure Performance Review</b>	76-78
Preface	76
Performance Evaluation	76-77
Outcomes	77
Review Process	78
Reporting Mechanisms	78
Due Process and Grievance Procedures	78
<b>Grievances</b>	79-85
Policy	79
Procedures	79-81
Informal Process	79
Formal Process	79-81
UH General Grievance Procedures	81-83



Grievance Involving Promotion and Tenure	83
Grievance Policy and Procedures for Graduate, Professional and Post-baccalaureate Students	83-85
Guidelines for Graduate/Professional/PB Grievance Hearings	85
<b>Faculty Dismissal</b>	86-89
Assurances in Dismissal Proceedings	86
Justifications	86-87
Adequate Cause	86
Dishonesty and/or Incompetence in Teaching or Research	86
Substantial and Manifest Neglect of Responsibilities	86
General Condemnation by U.S. Academic Community	86
Financial Exigency	86
Medical Reasons	87
Discontinuance of Academic Programs	87
Dismissal of Faculty with Tenure and Special or Probationary Appointment	87
Dismissal for Cause	87
Dismissal Hearing Procedures	87-89
Disposition of Recommendations of Dismissal Hearing Committee	89-90
Termination Proceedings	90
Dismissal for Medical Reasons	90
Dismissal for Reasons of Financial Exigency or Discontinuance of a Program	90
Financial Exigency Policy	91-93
Definition of Financial Exigency	91
Consultation Prior to Declaration of Exigency	91
Declaration of Financial Exigency	91
Consultation during Exigency	91
Plan for Retrenchment during Financial Exigency	91
Consideration of Less Drastic Alternatives Prior to Termination of Faculty	92
Order of Termination	92
Termination Notice and Procedure	92
Procedures for Review of Personnel Actions Based on Financial Exigency	92
Burden of Proof in Dismissal Proceedings for Financial Exigency	92
Policies Related to Financial Exigency	93
Job Placement Services	93
Eligibility to Participate in Insurance Programs	93
Course Work	93
Offer to Rehire	93

Termination of Exigency	93
Policy for the Termination of Faculty Due to the Discontinuance of a Program, Department, or College for Reasons Other Than Financial Exigency	93-95
Process for Discontinuance	93
Consultation Prior to Discontinuance	93-94
Declaration of Discontinuance	94
Consultation after Discontinuance	94
Consideration of Less Drastic Alternatives Prior to Termination of Faculty	94
Order of Termination in Discontinuance	94
Termination Notice and Procedure for Discontinuance	94
Procedures for Review of Personnel Actions Based on Discontinuance	95
Burden of Proof in Dismissal Proceedings for Discontinuance	95
Faculty Dismissal Policies Related to Discontinuance	95
Job Placement Services	95
Eligibility to Participate in Insurance Programs	95
Course Work	95
Offer to Rehire	95
Alterations in Conditions of Employment	95-105
Voluntary Modification of Employment (VMOE)	95-96
Eligibility to Participate in VMOE	95
Qualifications	95-96
Benefits	96
Duration	96
Relinquishing Tenured Status	96
Workload and Renewal of Agreement	96
Compensation	96
Failure to Perform Duties	97
Procedure to Settle Dispute Regarding Ability of Faculty	97
Retirement Options	97
Benefits and Amenities	97
Leaves without Pay	97-99
Extended Leaves of Absence	97
Insurance Options	97-98
Other Temporary Leaves	98-99
Emergency Leave	98
Jury and Witness Service	98
Military Duty	99

Volunteer Fireman Training	99
Seeing-Eye Dog Training	99
Other Leaves	99-105
Leaves of Absence	99
Faculty Development Leave	99-100
Reassignment of Duties	100
Development Leave for Administrators	100
Sick Leave Policy	100-101
Interagency Transfer of Sick Leave	101-102
Sick Leave Pool	102
Extended Illness	102-103
Disability Options	103
Family and Medical Leave	103
Parental Leave	104
Teaching Relief Program	104-105
<b>Professional Responsibilities and Ethics</b>	<b>106-128</b>
Academic Workload [Interim Policy]	106-115
University of Houston Policy, Rules and Regulations	106
Workload Matrix Examples for Different Types of Full-Time Faculty Appointments	107-108
Teaching	107-108
Research/Scholarship	108
Service and Professional Development	108-109
Accountability and Reporting of Faculty Academic Workload	109
Workload Graphic	109-111
Section A: Teaching	111-113
Teaching Equivalencies	111-112
Large Class Multiplier	113
Small Class Deflater	113
Teaching Work Unit Compliance	113
Section B: Research/Scholarship Activities	113-115
Section C: Service and Professional Development	115
Undergraduate Course Information to be Posted on the UH Website	116
Syllabus	116
Instructor's Curriculum Vitae	116
Protection of Confidential Information	116

Measurement and Evaluation Center	117-118
University Scanning Services	118
AAUP Ethics and Traditions of Academia	118
Standards of Conduct	119
Conflicts of Interest Policy	119-120
Responding to Allegations of Research Misconduct	121-125
Statement of Policy	121
Research Misconduct Definition	121
Applicability	121-122
Roles and Responsibilities	122
Responsibility to Report Misconduct	122-123
Cooperation with Research Misconduct Proceedings	123
Confidentiality and Protection	123
Assessment, Inquiry, and Investigation	123
Decision	124
Appeals	125
Citations	125
Consulting	125-126
Use of University Resources in Consulting	125
Written Notification of Consulting	126
Annual Reporting of Consulting and Paid Professional Service Activities	126
Procurement Integrity Policy	126-127
Inter-institutional Agreements	127
Travel Policy	127-128
Prior Approval Required	127
Faculty Travel	128
<b>Research</b>	<b>129-149</b>
Freedom to Publish	129
Textbook and Educational Materials Policy	129-130
Institutional Review Boards	130
Internal Funding	130-131
Faculty Development Initiative Program (FDIP)	130
Grant to Enhance and Advance Research (GEAR)	130
New Faculty Research Program	131
QEP Curriculum Development Grant Program (Learning Through Discovery Initiative)	131

Small Grants Program (SGP)	131-132
Provost Faculty Travel Fund	132
External Funding	132-135
Sponsored Research at the University of Houston	132-133
Indirect Cost Recovery	132
Division of Research	132-133
Office of Contract and Grants	132-133
Processing of External Funds	133
Responsibility to the Granting Agency	133
Fiscal Responsibility in Research	133-134
Purchasing Policy for Sponsored Program Funds	134
Salary Support from External Funding	134
Payments to Human Subjects	135
Institutional Review Boards	135-136
Committees for the Protection of Human Subjects	135
Institutional Animal Care and Use Committee	135-136
Division of Advancement	136
Intellectual Property	136-139
Definitions	137-138
Standing Committee on Intellectual Property	138
Technology: Patents, Trade Secrets, Know-how, etc.	138-139
Ownership of Technology	138
Technology Agreement	139
Technology Assignment and Execution of Documents	139
Disclosure of Technology	139
Action after Disclosure	139-140
Publication	140
Copyrights	140-143
Ownership of Copyrights	140
University Ownership	140-141
Disclosure of Copyright	141
Action after Disclosure	141
Rights to Fair Use	142
Revision of Materials and Work	142
Withdrawal of Materials and Work from Use	142
Reimbursement of Expenses	142
Apportionment among Authors	142

Resolution of Copyright in Equity Disputes	142-143
Commercialization of Board-Owned Intellectual Property	143
Net Income Distribution	143-144
Reimbursements to System of Net Income	143
Creator's Residual Economic Interest	143
Time of Distributions	144
Business Participation	144
Copyrights and Copyright Infringement Laws	144
Faculty Awards	145-149
Esther Farfel Award	145
John and Rebecca Moores Professors	145
Teaching Excellence Awards	145-147
Awards for Excellence in Research and Scholarship	147
Provost Faculty Advising Award	147-148
Mentoring Awards	148
Early Mentoring Award	148
Lifetime Mentoring Award	148
Women and Gender Resource Center Distinguished Faculty Scholar Awards	148
Academic Excellence Award	148-149
<b>Responsibilities to Students</b>	<b>150-176</b>
Availability for Consultation with Students	150
Return and/or Retention of All Evaluated Student Material	150
Accommodating Students with Disabilities	150-151
Suggested Wording for Syllabus for ADA	151
Religious Holy Days Policy	151
Academic Calendar and Course Listings	151
Confidentiality of Student Records	152-153
Classroom Protocol	153-171
Textbook Orders	153
Final Examinations	153-154
Classroom and Laboratory Examinations	154
Posting of Grades	154
Incomplete (I) Grade Policy	154-155
Dropping Courses	155-157
Student Evaluations of Teaching	157
Medical Withdrawal Policy for Undergraduate Students	157

Administrative Withdrawals	157
Medical Withdrawal Policy for Graduate and Professional Students	157
Disruptive Behavior	158
Freedom of Expression	158-159
Academic Honesty Policy	160-171
University of Houston Degree Revocation Policy	171
University Hearing Board	171
<b>Student Services</b>	<b>172-176</b>
Counseling and Psychological Services	172
Student Learning Assistance	172-174
Learning and Assessment	172
Learning Support Services	172-173
Challenger Program	173
University Testing Services	173
Measurement and Evaluation Center	173
UH Writing Center	174
Center for Students with DisABILITIES	175
Other Student Services	174-176
International Student and Scholar Services Office (ISSSO)	174-175
Student Employment	175
Student Government Association	175
Student Center	175-176
Student Center Satellite	176
<b>Environmental Health and Life Safety</b>	<b>177-181</b>
Environmental Health and Life Safety Policy	177-178
Research Oversight Committees	178-179
Institutional Biosafety Committee	178
Radiation Safety Committee	178-179
Safety Compliance Assistance	179
Other Health Related Policies	179-180
Alcoholic Beverages on Campus	179
Events and Alcoholic Beverages	179
Restrictions on Consumption of Alcoholic Beverages by Employees	179
Drug and Alcohol Abuse Prevention	179
Employee and Student Assistance Programs	179-180
UH Wellness	180



AIDS Policy	180-181
Smoking Policy	181
<b>Other University of Houston Policies</b>	<b>182-186</b>
Contract Administration Policy	182
Financial Responsibility	182
University Financial Policies	182
Official Functions and Discretionary Expenditures	183
Debarment and Suspension	184
University Employee Governmental Appearances	184
Approval of Advertising	184
Printing Policy	184
University Names and Indicia	185
University Names	185
University Seal	185
University Logo	185
No Guns on Campus	185-186
Violence on Campus	186
Operation of the University of Houston under Emergency Conditions	186
<b>Benefits</b>	<b>187-194</b>
Compensation	187-189
Direct Payroll Deposit	187
Salary Increments for Faculty	187
Evaluation of Faculty	187
Faculty Administrators	187
UH System Guidelines on Academic Administrative Salaries	187
Administrative Stipends Attached to Specific Offices	187
Additional Compensation Policy for Faculty	187-188
Additional Compensation	188
Amount of Additional Compensation	188
Graduate Work by Faculty	189
Insurance	190-192
Group Insurance Plans	190
Overview of Group Benefit Options	190
Eligibility to Participate in ERS Group Benefits Program	190
State Contributions toward Medical Insurance	190-191

Affordable Care Act (ACA)	191
Travel Insurance	191
Workers' Compensation	191
Liability	191-192
Vacation Policies	192
Vacation Accruals for Faculty on Twelve-Month Appointments	192
Vacation Accruals for Faculty with Appointments Funded by Contracts and Grants	192
Retirement	193-194
University of Houston Retirement Plans	193
Teacher Retirement System	193
Optional Retirement Program	193
Tax-Deferred Annuities and Tax-Deferred Compensation	193-194
Social Security	194
<b>Services</b>	<b>195</b>
Counseling and Psychological Services (CAPS)	195
Psychological Research and Services Center	195
University Career Services	195
<b>Child Care and Child Educational Services</b>	<b>196</b>
Child Care Center	196
University of Houston Charter School	196
<b>Health Services</b>	<b>197-198</b>
University Health Center and Pharmacy	197
University Eye Institute	197
University Speech, Language, and Hearing Clinic	198
<b>Financial and Other Services</b>	<b>199-213</b>
Copy Services	199
Cougar Card	199
Financial Institution	199
ATMs	199
Notary Service	199
Parking and Transportation	200
Faculty/Staff Permits	200
Citations/Appeals	200

Shuttle Services	200
Metro Services/Metro Q-Card	200
Facilities Management	200-201
FIX-IT (for repairs)	201
Key Control	201
Facilities, Planning and Construction	201
University of Houston Public Safety	201
Contacting UHDPS and Informational Resources	201
Emergency Management	201
University of Houston Police	202-203
Campus Escorts	202
Motorist Assistance	202
Requests for Police Services during Special Events	202
Criminal Investigations	202
Safety and Security Committee	203
Parking Enforcement	203
Fire Marshal's Office	203-204
Academic Support	205
Use of State Property	205
Removal of State Property from Campus	205
Scheduling of Campus Facilities	205
University Libraries	205-207
Online Library Catalog	206
Reciprocal Faculty Borrowing Program	207
Bookstore	207
Information Technology	208-211
Accounts	208
Password Reset	208
Lync	209
Networks	209
Wireless Access	209
Technology in the Classroom	209
Equipment	209
Mediasite Lecture Capture	209
UH Blackboard Online Course System	210
Resources	210
Software	210

Microsoft Office for Home Use	210
SkillPort eLearning	210
IT Support Center Help Desk	210
IT Security	210-211
Publications	211
Publications Approval	211-212
Printing and Postal Services Department	212
Communication	212
<i>UHC News</i>	212
Media Relations	212-213
Press Releases	212
Faculty Experts	213
University Marketing	213
Purchasing Department	213
<b>Facilities</b>	<b>214-217</b>
Arts	214-215
Blaffer Gallery	214
Cullen Performance Hall	214
Cynthia Woods Mitchell Center for the Arts	214
Dudley Recital Hall	214
Moores Opera House	214
Houston Public Media: KUHT TV8, KUHF News 88.7 and KUHA Classical 91.7	215
Campus Recreation	215
Sports Facilities	215-216
Athletics/Alumni Center	215
TDECU Stadium	215
Hofheinz Pavilion	215
Cougar Field	216
Tom Tellez Track at Carl Lewis International Complex	216
Cougar Softball Field	216
Accommodations, Food Services and Catering	217
Hilton University of Houston Hotel	217
Dining Services	217
<b>Guidelines for Revision of Faculty Handbook</b>	<b>218</b>
<b>Faculty Handbook Committee</b>	<b>219</b>

<b>Appendices</b>	<b>220-249</b>
<b>Appendix A: Faculty Senate Constitution and Bylaws</b>	<b>220-229</b>
Preamble – Shared Governance	220
Principles	220
Faculty Role in Shared Governance	220
Membership	220-222
Officers	222
Executive Committee	222-223
Faculty Governance Committee	223
Assembly of the Faculty	223-224
Meetings and Voting of the Faculty Senate	224
Bylaws	225-229
Eligibility	225
Duties of Officers	225-226
Credentials Committee	226
Faculty Senate Standing Committees	226-227
Appointed Committees	226
Budget and Facilities Committee	226
Community and Government Relations Committee	226
Faculty Affairs Committee	226
Directly Elected Committees	226-227
Research and Scholarship Committee	226-227
Undergraduate Committee	227
Graduate and Professional Studies Committee	227-228
Minutes of Faculty Senate Meetings	228
Other Nominations	228
Grievance Committee	228
University Coordinating Commission (UCC)	228-229
United Faculty Executive Council (UFEC)	229
Texas Council of Faculty Senates (TCoFS)	229
Coalition on Intercollegiate Athletics (CoIA)	229
Action to Be Taken in Event of the Elimination or Drastic Reduction of an Academic Department or Program	229
<b>Appendix B: Bylaws of the Research and Scholarship Committee             of the Faculty Senate</b>	<b>230-234</b>
Purpose	230
Internal Grants Program	230

Research Excellence Award	230
Recommendations to the Vice President for Research	230
Membership	230- 231
Officers	231-232
Subcommittees	232-233
Meetings	233
Elections and Voting	233
Amendments	233-234
<b>Appendix C: Bylaws of the Undergraduate Committee of the Faculty Senate</b>	<b>235-239</b>
Membership	235
Officers	236-237
Subcommittees	237-238
Meetings	238-239
Amendments	239
<b>Appendix D: Graduate and Professional Studies Committee Bylaws</b>	<b>240-243</b>
Purpose and Charge	240
Membership	240-241
Officers	241
Subcommittees	242
Meetings	243
Elections and Voting	243
Amendments	243
<b>Appendix E: Drug and Alcohol Prevention Policy</b>	<b>244-256</b>
Dangers of Drug or Alcohol Abuse in the Workplace on Campus	244
Definitions	244-245
Philosophy	245
Health Risks	245-247
Employee and Student Assistance Programs	247-249
Application of Policy	248-249
Implementation	249
<b>Index</b>	<b>250-268</b>

## **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**

### **Nationally Competitive:**

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

### **Student Success:**

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

### **Community Advancement:**

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

### **Athletic Competitiveness:**

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

### **National and Local Recognition:**

UH will be known for its accomplishments locally and nationally.

### **Competitive Resources:**

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



# General Information

## Administrative Officers

### University of Houston System Board of Regents

#### Officers

*Effective September 1, 2015*

Tilman J. Fertitta	Chair
Welcome W. Wilson, Jr.	Vice Chair
Spencer D. Armour, III	Secretary

#### Members\*

*Term Expires May 31, 2016*

Garrett H. Hughey	Student Regent
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*Terms Expire August 31, 2017*

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

*Terms Expire August 31, 2019*

Durga D. Agrawal	Houston
Paula M. Mendoza	Houston
Peter K. Taaffe	Austin

*Terms Expire August 31, 2021*

Tilman J. Fertitta	Houston
Beth Madison	Houston
Gerald McElvy	Southlake

\*Serve until Governor appoints replacement

## **Board of Regents**

The Board of Regents is the governing body of the University of Houston System (University of Houston, University of Houston-Clear Lake, University of Houston-Downtown, University of Houston-Victoria, UH System at Cinco Ranch, UH Sugar Land, KUHT Television, and KUHF Radio). Appointed by the Governor of Texas, the ten members (chair, vice chair, secretary, and six members) serve for six years, along with the student regent who serves on the board for a one-year term but does not have voting authority. The student regent is not counted in determining whether a quorum exists for a meeting of the board or in determining the outcome of any vote before the board.

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

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

## **University of Houston System Administration**

Renu Khator, *Chancellor*

Ph.D., Purdue University

Paula Myrick Short, *Senior Vice Chancellor for Academic Affairs*

Ph.D., University of North Carolina at Chapel Hill

Jim McShan, CPA, *Interim Vice Chancellor for Administration and Finance*

BBA, Texas State University

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

J.D., University of Texas at Austin

Ramanan Krishnamoorti, *Interim Vice Chancellor for Research and Technology Transfer*

Ph.D., Princeton University

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

Ed.D., University of Miami

Eloise Dunn Stuhr, *Vice Chancellor for University Advancement*

B.A., Vanderbilt University

Richie C. Hunter, *Vice Chancellor for University Marketing, Communication and Media Relations*

M.B.A., Lamar University

Don F. Guyton, C.P.A., *Chief Audit Executive*

M.B.A., University of New Orleans

## **University of Houston System Presidents**

Renu Khator, *Chancellor of the University of Houston System and  
President of the University of Houston*

Ph.D., Purdue University

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

Ph.D., University of Houston

Michael A. Olivas, *Interim President, University of Houston–Downtown*

Ph.D., Ohio State University; J.D., Georgetown University

Raymond Victor Morgan, Jr., *Interim President, University of Houston–Victoria*

Ph.D., University of Missouri

## University of Houston Administration

Renu Khator, *President*

Ph.D., Purdue University

Paula Myrick Short, *Interim Senior Vice President for Academic Affairs and Provost*

Ph.D., University of North Carolina at Chapel Hill

Jim McShan, CPA, *Interim Vice President for Administration and Finance*

BBA, Texas State University

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

J.D., University of Texas at Austin

Ramanan Krishnamoorti, *Interim Vice President for Research and Technology Transfer*

Ph.D., Princeton University

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

Ed.D., University of Miami

Eloise Dunn Stuhr, *Vice President for University Advancement*

B.A., Vanderbilt University

Richie C. Hunter, *Vice Chancellor for University Marketing, Communication and Media Relations*

M.B.A., Lamar University

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

J.D., Yale University

Jason Smith, *Vice President for Governmental Relations*

B.A., University of Houston

Hunter R. Yurachek, *Vice President for Intercollegiate Athletics*

M.A., University of Richmond

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

M. Arch., University of California at Los Angeles

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

Ph.D., Northwestern University

Robert McPherson, *Dean, College of Education*

Ph.D., University of Houston

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

Ph.D., Lehigh University

William Monroe, *Dean, The Honors College*

Ph.D., University of Chicago

Dennis Reynolds, *Dean, Conrad N. Hilton College of Hotel and Restaurant Management*

Ph.D., Cornell University

Steven Craig, *Interim Dean, College of Liberal Arts and Social Sciences*

Ph.D., University of Pennsylvania

Leonard M. Baynes, *Dean, Law Center*

J.D., Columbia University

Dan Wells, *Dean, College of Natural Sciences and Mathematics*  
Ph.D., Indiana University

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

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

Neil Eldin, *Interim Dean, College of Technology*  
Ph.D., Oklahoma State University

Alan J. Dettlaff, *Dean, Graduate College of Social Work*  
Ph.D., University of Texas at Arlington

Lisa B. German, *Dean of Libraries*  
M.L.S. University of Illinois at Urbana-Champaign

Mark Clarke, *Associate Provost for Faculty Development and Faculty Affairs*  
Ph.D., Manchester Metropolitan University

Richard Phillips, *Associate Provost for Outreach and Community Engagement*  
M.S., Northwest Missouri State University

Chris Stanich, *Associate Provost for Institutional Planning and Analysis*  
J.D., University of Houston

Dmitri Litvinov, *Vice Provost and Dean, Graduate School*  
Ph.D., University of Michigan

Teri Elkins Longacre, *Vice Provost and Dean, Undergraduate Student Success*  
Ph.D., University of Houston

Maureen Croft, *Associate Provost for Strategic Enrollment Planning*  
Ph.D., University of Tennessee at Knoxville

Bruce Jones, *Vice Provost for Academic Programs and Interim Vice Provost for Academic Programs at UH Sugar Land*  
Ph.D., Columbia University

Jeff Morgan, *Associate Provost for Education Innovation and Technology*  
Ph.D., University of Houston

Jaime Ortiz, *Vice Provost for Global Strategies and Studies*  
Ph.D., Virginia Tech

Sabrina Hassumani, *Associate Provost for Finance and Administration*  
Ph.D., University of Houston

Ramanan Krishnamoorti, *Chief Energy Officer*  
Ph.D., Princeton University

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

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

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

Joan Nelson, *Assistant Vice President for Human Resources*  
M.B.A., University of Houston

Malcolm C. Davis, *Assistant Vice President for Public Safety and Security*  
M.S., University of Houston

Ceaser Moore, Jr., *Chief of Police*  
Ph.D. candidate, Sam Houston State University

## The University of Houston: An Introduction

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.

A few institutional characteristics worth noting as of September 1, 2014, include:

- **Faculty:** There are 3,760 faculty members, of which 979 are ranked. The ethnic breakdown of ranked faculty is African American, 3.7%; Asian, 18.5 %; Hispanic, 6.6 %; International, 4.0 %; Native American 0.3%, and White, 66.3 %. The gender breakdown is male, 70.0 %, and female, 30.0 %.
- **Students:** The fall 2014 enrollment was 40,914. Of these, 31,722 (77.53%) were classified as undergraduates, 7,877 (19.25%) as graduate/professional students, and 1,315 (3.22%) as post baccalaureate. The ethnic breakdown was African American, 10.2%; Asian, 19.8%; Hawaiian/Pacific Islander, 0.20%; Hispanic, 26.9%; International, 9.8%; Native American 0.1%, White, 29.0%, two or more races, 3.0%; and Unknown 0.9%. The gender breakdown was male, 50.67%, and female, 49.33%. Most students came from Harris County (53.8%) and from Texas (87.3%). As of September 1, 2014 there were 6,578 students (16.1%) in residence at the University of Houston.
- **Staff:** There are 3,736 full-time staff members. The ethnic breakdown is African American, 24.7%; Asian, 14.5%; Hispanic, 21.1%; Native American, 0.2%; Hawaiian/Pacific Islander, 0.2%; and White, 39.2%. The gender breakdown is male, 42.5% and female, 57.5%.
- **Academic Programs:** There are 13 colleges, all degree awarding except the Honors College. There are 282 degree programs. Four (Law, Optometry, Pharmacy, and Social Work) offer only graduate/professional degrees.
- **Degrees Awarded:** In 2013-2014, a total of 9,208 degrees were awarded as:

Baccalaureate	6,372	Special Professional (Law/Optometry)	452
Masters	2,109	Doctorate	275

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



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

Commission on Colleges  
Southern Association of Colleges and Schools  
1866 Southern Lane, Decatur, Georgia 30033-4097  
(406) 679-4500

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

*For more detailed information, visit the website of the UH Office of Institutional Research at <http://www.uh.edu/ir/> or the UH Division of Finance's website on Statutorily Required Reports at [http://www.uh.edu/finance/StateReport/state\\_report1.html](http://www.uh.edu/finance/StateReport/state_report1.html)*

## Office of Equal Opportunity Services

### Discrimination and Harassment Policy

The University of Houston is committed to providing equality of treatment and opportunity in an environment that appreciates and respects the diversity of the community it serves. The University is committed to the concept of equal employment opportunity as a necessary element of an employment process based on job-related factors and without regard to protected class status such as age, race, color, disability, religion, national origin, veteran's status, genetic information, or sex (including pregnancy), except where such distinction is required by law. Discrimination against any individual in any of these protected classifications with regard to recruitment, appointment, benefits, training, promotion, retention, discipline, termination or any other aspect of the terms, conditions and/or privileges of employment is prohibited.

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

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

#### Statement of Non-discrimination

The University of Houston provides equal treatment and opportunity to all persons without regard to race, color, religion, national origin, sex, age, disability, veteran status or genetic information except where such distinction is required by law. Additionally, the university prohibits discrimination in all aspects of employment on the basis of sexual orientation, gender identity or gender expression.

*For more information regarding the Discrimination and Harassment policy, please visit the Office of Equal Opportunity Services website at <http://www.uh.edu/legal-affairs/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 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/legal-affairs/equal-opportunity>, or call 713-743-8835.*

#### Duty to Act and Report

In accordance with both the Discrimination and Harassment 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 this Policy, even if the underlying event does not constitute unlawful discrimination or harassment.

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

If the Office of Equal Opportunity Services finds a violation of either the Discrimination and Harassment or the Sexual Misconduct policy against a faculty member, it will recommend appropriate university action. 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 and consistent with this faculty handbook. Appeals/Grievances relating to sanctions assessed by the appropriate administrator must be addressed through the standard faculty grievance procedure as detailed in this faculty handbook. (*See pages 81-83.*)

### **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** 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 [MAPP 02.07.02](#) please visit the Office of Equal Opportunity Services website at <http://www.uh.edu/legal-affairs/equal-opportunity/> or call 713-743-8835.*

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

(System Administrative Memorandum 01.C.04)

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

- If the employee wishes to make an anonymous report, he/she may contact the State Auditor's Office (SAO) Hotline at 1-800-TX-AUDIT (1-800-892-8348) or visit the website at <http://www.sao.state.tx.us/>. Anonymous reports can also be made via the web at <http://www.mysafecampus.com> or by calling 1-800-716-9007.
- If the employee does not wish to remain anonymous, the employee should notify his/her supervisor, the Chief Audit Executive or the CEO (or designee). If the suspect is a senior

manager, administrator or executive, the employee should notify the Chief Audit Executive.

- If the employee notifies his/her supervisor (or higher authority), the supervisor (or higher authority) must immediately direct the report to the CEO (or designee) or the Chief Audit Executive.

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

### **MySafeCampus**

The university uses the MySafeCampus program, 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 My Safe Campus may choose to remain anonymous. To report fraud or non-compliance, call 1-800-716-9007 or go to <http://www.mysafecampus.com>.

Some faculty concerns may be more appropriately addressed through the Office of the [Ombudsperson](#) or standard faculty grievance procedures.

### **Protection for Whistleblowers**

The law known as the "Whistleblower Act" prohibits retaliation against public employees who report official wrongdoing. The act states that "a state or local governmental entity may not suspend or terminate the employment of, or take other adverse personnel action against, a public employee who in good faith reports a violation of law by the employing governmental entity or another public employee to an appropriate law enforcement authority." (Tex. Gov't Code Ann. §554.002(a).

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

*For more information, contact the Office of Equal Opportunity Services 713-743-8835, [eosinfo@uh.edu](mailto:eosinfo@uh.edu), or visit the website at <http://www.uh.edu/legal-affairs/equal-opportunity/index.php>*

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

### **Ombudsperson**

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

As a neutral and impartial university employee, the Ombudsperson is not an advocate for any individual or the university, but rather, is an informational source for faculty and staff members. The Ombudsperson will assist faculty and staff members in accessing and interpreting university policies and procedures, including those of specific colleges and departments. The Ombudsperson

will aid in answering faculty and staff members' questions and concerns, and outline available options for the resolution of their concerns or complaints (grievances) that are available to them.

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

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

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

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

## Shared Governance

The faculty governance structure provides the framework for an active partnership between faculty and administration in formulating recommendations and policies affecting the academic community. 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, see Appendix A: Faculty Senate Constitution (*pages 220-229*); Appendix B: Research and Scholarship Committee Bylaws (*pages 230-234*); Appendix C: Undergraduate Committee Bylaws (*pages 235-239*); and Appendix D: Graduate and Professional Studies Committee Bylaws (*pages 240-243*).

### 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.

#### Procedure

- A. 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.
- B. No committee member shall have a designate serving in his/her place unless approved by the committee and also by the appropriate nominating body.
- C. Committee chairs shall make every effort to schedule committee meetings at times when all members can attend. Written notices of scheduled meetings shall be circulated to all committee members, the Faculty Senate, the Staff Council, the Student Government Association, and the appropriate university offices as far in advance of the meeting as possible.
- D. At the first meeting of the year, each committee shall be given a statement of its duties, responsibilities, and issues for consideration.
- E. 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.

- F. 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.
- G. There should be regular contact between the committee chairs and their related university offices in order to communicate recommendations and specific actions under consideration.
- H. Committees shall meet at least twice a semester.
- I. 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.
- J. 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.
- K. To create a standing committee, a recommendation is brought to the Faculty Governance Committee of the Faculty Senate that includes: the proposed name of the committee and the administrator/s to be involved; the proposed composition of the body; a solid indication of scope – e.g., both a general statement and some examples; and a recommended charge, including the main point/s or purpose of the committee. The Faculty Governance Committee will consult with the appointing officer to discuss the recommendations and formalize the details.

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.*

### **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**

Grievance Committee  
 Health Professions Advisory Committee  
 International Students Advisory Committee  
 Library Committee  
 Promotion and Tenure Committee  
 Scholarship and Financial Aid Advisory Committee  
 Student Learning Abroad Scholarship Selection Committee  
 Teaching Excellence Awards Selection Committee  
 Undergraduate Admissions Review and Appeals Committee



## **Office of the Executive Vice President for Administration and Finance**

Bookstore Advisory Committee  
Food Services Advisory Committee  
Human Resources - Fringe Benefits Committee  
Safety and Security Advisory Committee  
Sustainability Task Force  
Transportation and Parking Advisory Board  
University Traffic Court

## **Office of the Vice President for Research and Technology Transfer**

UH System Intellectual Property Committee (<http://www.uh.edu/research/intellectual-property/>)

## **Office of the Vice President for Student Affairs**

A. D. Bruce Religion Center Policy Board  
Campus Recreation Advisory Committee  
Center for Students with DisABILITIES Advisory Board  
Children's Learning Center Advisory Board  
Health Center Policy Board  
Student Housing and Residential Life Committee  
Student Center Policy Board  
Student Fees Advisory Committee  
Student Media Committee  
University Hearing Board

## **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 Hofheinz Pavilion. 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/admin/hr/HRFORMS/staffhandbook.pdf>.*

## **Student Government Association**

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

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

*More information is available at <http://www.uh.edu/sga>. The Student Handbook may be found at <http://publications.uh.edu/index.php?catoid=17>.*

## **University Coordinating Commission**

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

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

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

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

- Building Coordinator Advisory Committee
- Campus Facilities Planning Committee
- Capital Planning and Renewal Committee
- Human Resources Advisory Committee
- System-wide Art Acquisition Committee
- Tuition and Fee Advisory Committee
- UH Master Planning Committee
- UHS Housing Initiative Committee

## Decision-making Cycle

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

## College and Department Bylaws

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

- definitions of the various classes of benefits eligible faculty members;
- rules regarding the voting rights for each class of faculty members such as hiring, retention, promotion, curricular revisions, and other faculty matters;
- rules regarding the participation of each class of faculty member on committees and task forces;
- procedures for the selection, tenure, review, and retention of department chairs (See [http://www.uh.edu/provost/fac/Policy\\_chairs.html](http://www.uh.edu/provost/fac/Policy_chairs.html)) and deans;
- rules regarding the timing of and criteria for calling regular faculty meetings;
- the selection process, composition, responsibilities, and list of departmental and college standing committees;
- the faculty role in promotion, tenure, and post-tenure review;
- the criteria and procedures for promotion and tenure;
- the procedures for adjudicating faculty and staff grievances;
- procedures for identifying faculty roles in the determination of planning and budgets for departments and colleges;
- procedures to determine and specify selection for membership on governance groups at the department, college, and university levels;
- procedures by which bylaws would be reviewed and amended;
- a statement that faculty are responsible for developing the curriculum and determining its effectiveness within each department and college;
- a statement that faculty identify the standards for student admissions, grading, and candidacy for graduate and undergraduate study;
- delineation of faculty responsibilities in the areas of work load and space allocation;
- delineation for opportunities of leadership development among faculty administrators, chairs and potential faculty administrators; and
- accreditation for professional schools and colleges beyond SACS should involve the broadest cross section of faculty in the process.

College and department bylaws should be available online for accessibility.

# University Policies and Procedures

## Definition

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

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

## Administrative Policies

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

## Academic Policies

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

## Amending Policies Regarding Faculty Roles

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

To be included in the *Faculty Handbook*, the Provost will review proposed policies or amendments, revise the recommendations, if necessary, and forward them to the Handbook Committee. The policies will be reviewed by the faculty governance bodies represented by the Handbook Committee members. (Please see section Guidelines for Revision of the *Faculty Handbook*, page 218). Should the faculty committees suggest substantive changes; the Provost will review those recommendations before submitting the final policy to the President for approval. After consultation with the appropriate faculty governance bodies, the Provost may also establish policies to meet a specific need. The Provost will distribute new and amended policies to the faculty through the deans. The policy will appear in the Handbook as approved by the President.

# Academic Personnel Policies and Procedures

## Academic Freedom

(UHS Board of Regents [policy 21.03](#))

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

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

## Expectations of Faculty with Teaching Responsibilities

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

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

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

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

Sexual harassment of students is prohibited. For more information see Discrimination and Harassment Policy and Sexual Misconduct Policy, *page 31*.

## Faculty Appointments

### Definitions

As mandated by Board [policy 21.06](#), the University of Houston has established the following definitions and conditions:

- A. **Appointment** is defined as the employment of an individual in a given capacity for a specified time period at a stated salary. Faculty appointments are made following procedures that have been developed at the university and which have been approved by the Chancellor. Appointment letters must be approved by Academic Affairs (AA) and Human Resources (HR) and must follow standard forms as adopted by AA and HR. 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](#). No administrator may be given faculty status or tenure without a review and positive recommendation from the academic unit involved.
- B. **Term:** Appointments begin on or about one week prior to the beginning of the fall semester and end within one week of spring commencement or as otherwise defined in the appointment letter.
- C. **Designations of Faculty Positions/Titles:**
  1. **Tenure Track Positions:** The following ranks are considered part of the tenure track: instructor (except as noted below), assistant professor, associate professor, and professor.
    - a. **Instructor** is normally a tenure track position; in special circumstances the President may waive the inclusion of an instructor in tenure track status, by written mutual consent.
    - b. **Assistant professor** is normally a probationary rank although in special cases, the President may request that tenure be awarded to an assistant professor.
    - c. **Associate professors** may be appointed with tenure or, alternatively, may be required to serve a probationary period not to exceed four years before tenure is awarded.
    - d. **Professors** are usually appointed with tenure, but may be required to serve a probationary period not to exceed four years, which shall be stated in the appointment letter.
  2. **Non-tenure Track Positions:** The University of Houston may choose to utilize other faculty titles to convey certain meanings specific to the university. All such titles must be filed with the Office of the Provost.

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

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



"adjunct" is used for persons who have a primary employment responsibility outside the university or in a different department in the university, and who bring some specific professional expertise to the academic program.

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

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

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

3. **Joint Appointments:** When a faculty member holds a joint appointment in two or more academic units at the university, it must be clearly indicated at the time of the appointment in which academic unit the faculty member holds tenure or is on the tenure track and which, therefore, shall bear the primary responsibility for evaluation and recommendation. In such cases the appointment letter must also stipulate the division of responsibility and the weight assigned to such responsibilities in the review for tenure, promotion, and merit salary increases.

D. **Separation** is defined as termination of employment with the university. Three distinct modes of separation other than retirement are recognized:

1. **Resignation** is voluntary termination of employment by an employee.
2. **Non-reappointment** refers to a situation in which a non-tenured faculty member is not offered the next successive appointment at the end of a stated employment period.

*For more information, see Non-renewal of Appointment of a Tenure Track Faculty Member, pages 64-65.*

3. **Dismissal** is severance from employment due to adequate cause, financial exigency, medical reasons, or the discontinuance of academic programs. Dismissal shall not be used to restrain faculty members in their exercise of academic freedom. When dismissal involves a tenured faculty member, consultation with the Chancellor, the Provost and University Legal 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. (See Board of Regents [Policy 21.07.](#))

*For reasons for dismissal, see pages 86-87.*

E. **Tenure** is defined as the right to continuous employment. It is awarded by the Chancellor based upon the authority delegated by the Board of Regents and upon the recommendation of the President after the appropriate review processes have been followed. Tenure is awarded on the basis of teaching, research, and service excellence to date, consistent with the mission of the university, and a high degree of confidence in the continuation and enhancement of this performance for the benefit of the university. Recommendations for tenure shall be made once each year to be effective at the beginning of the succeeding academic year. Tenure can only be revoked due to dismissal for cause, financial exigency, the elimination of programs, medical reasons, retirement, or resignation. Tenured faculty members shall be afforded every opportunity to be placed in other related faculty assignments when the existence of a financial exigency or the elimination of a program may necessitate the elimination of tenured faculty members' positions. Tenure shall be specific to the University of Houston System component recommending tenure and never applies to administrative appointments.

F. **Promotion** is defined as advancement to a higher rank or title based on merit or evidence of excellence in the performance of job responsibilities. Promotions are subject to the approval of the Chancellor and the Board of Regents upon recommendation of the President. Recommendations for promotion shall be made no more than once each year, to be effective at the beginning of the succeeding academic year.



## **Distinguished and Named Professors**

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

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

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

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

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

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

### **Positions at the university level**

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

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

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

## **Standards for Distinguished and Named Professors**

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

- A. The nominee has a reputation that is national and international in scope, with research or creative activity that has been original, seminal, and influential.
- B. The nominee has materially affected undergraduate and/or graduate education.

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

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

Nomination files must include the following:

1. Letter of nomination providing justification for the appointment, including concordance with the conditions of the endowment documents.
2. Letter of transmittal from the department chair, explaining the value of the appointment to the department and providing an independent evaluation of the nominee.
3. Letter of transmittal from the dean, explaining the value of the appointment to the college and addressing the standards listed above, particularly the influence and value of the nominee's work and its place in the discipline.
4. The candidate's current curriculum vitae and supporting materials.
5. Three to five external arm's length letters of recommendation. Because external reference letters are part of the documentation required for employment, separate letters for the distinguished professorship are not required. (A summary of the credentials of each referee must be provided.)

### **Terms and Reviews of Distinguished and Named Professors**

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

## **Emeritus Status**

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

- A. The titles "emeritus" and "emerita" will be conferred only upon those retired tenured faculty 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.

## Eligibility for Employment

### Nepotism Policy

(UHS Board of Regents [Policy 57.07](#))

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

*For 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/2HumanResources/2A21.pdf>.

### Employment of Non-citizens

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

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

### Primary Spoken Language of Teaching Personnel

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

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

1. Completion of baccalaureate degree requirements at a regionally accredited U.S. institution or an institution in Australia, Canada, New Zealand, South Africa, or the United Kingdom at which English is the medium of instruction.
2. A score of 23 (out of 30) on the Speaking section of the TOEFL-IBT or a minimum score of 50 on the Test of Spoken English (TSE), 50 on the Spoken Proficiency English Assessment Kit (SPEAK) Test, or 17 (out of 25) on the Foreign Service Institute (FSI) Oral Interview.

#### Test Registration Information:

- a. TOEFL -IBT examinees can register online at <http://www.ets.org/toefl>. The UH Test Center number is 7514.
- b. SPEAK test is administered by University Testing Services in Room 204 Student Service Center 1. Registration is available online at <https://testing.las.uh.edu/>.

See <http://www.uh.edu/admissions/apply/international/admissions-criteria/english-proficiency-toefl/> for additional information on proficiency requirements and testing.

#### **Criminal Background Checks**

The university is committed to providing a secure and safe environment. Pursuant to [SAM 02.A.37](#), criminal background checks will be conducted for new hires and current employees who apply for and are hired to a vacant position. See [SAM 02.A.37](#).

## Faculty Position Approval and Search Procedures

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

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

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

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

### Affirmative Action Procedures on Search Committees

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

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

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

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

## **Moving and Relocation Expenses**

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

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

## **Personnel Records**

The official personnel file of each faculty member of the University of Houston is generally an open record and is located in the Human Resources Department. Requests for hard copies of one's own file shall be made in writing to the 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/human-resources/), or visit the website at <http://www.uh.edu/human-resources/>.*

## **Policies and Procedures Governing Specific Faculty Groups**

### **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 department to which the faculty member will be assigned. The department will conduct a review of the candidate utilizing the same procedures applicable to faculty candidates for determining appointment, rank, and tenure status.

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

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

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

### **Research Faculty**

#### **A. Definition**

The research faculty will consist of members with the following titles: research assistant professor, research associate professor, research professor; research scientist, and senior research scientist. Individuals at each level will have research experience and prestige comparable to that of a regular faculty member at the equivalent level. Research faculty are typically externally funded and will not be paid from the state teaching budget. This

designation, on an exceptional basis, may be used for persons who do not yet hold the terminal degree.

#### **B. Qualifications for Appointment**

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

#### **C. Appointment Procedure**

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

#### **D. Duration and Nature of Appointment**

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

#### **E. Research Privileges and Responsibilities**

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

#### **F. Teaching and Related Obligations**

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

#### **G. General Privileges**

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

#### **H. Academic Privileges**

If specified in the by-laws of individual academic units, research faculty may participate in departmental, college, or university affairs. However, research faculty may not constitute a voting majority on any department or college committee or in any department. Participation will be regulated by guidelines established by individual colleges and departments and approved by the Provost. These guidelines apply to all individuals with research faculty appointments in the relevant academic unit. Research faculty are not eligible to apply as



principal investigators for the various internal grant programs. Research faculty are allowed to submit as co-investigators for the Grants to Enhance and Advance Research (GEAR) Program. To the extent that research faculty have academic privileges, they shall be governed by the same regulations as regular faculty members as outlined in the *Faculty Handbook*.

#### **I. Promotion**

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

#### **J. Compensation**

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

#### **K. Exceptions**

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

### **Clinical Faculty**

#### **A. Definition**

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

#### **B. Qualifications for Appointment**

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

#### **C. Appointment Procedure**

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

#### **D. Duration and Nature of Appointment**

All appointments of clinical faculty are non-tenure track and may not be converted into tenure track positions. Clinical faculty will not be considered for tenure; and instructional time served

in any clinical faculty position shall not be counted toward tenure. Appointments are typically for one academic year, although a shorter appointment is possible, and appointments will be evaluated annually. Clinical faculty should not expect continued employment beyond the period specified in the appointment letter. Duties and responsibilities of clinical faculty will be in accordance with the college's Clinical Faculty Policy. Exceptions to this provision must be approved in advance by the dean and Provost.

#### **E. General Privileges**

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

#### **F. Academic Privileges**

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

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

#### **G. Promotion**

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

#### **H. Compensation**

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

#### **I. Restrictions**

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

#### **J. Exceptions**

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

### **Instructional Faculty**

#### **A. Definition**

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

Instructional faculty may be expected to teach distance education courses either face-to-face at off-campus sites, using instructional technology or instructional TV, as well as on-campus courses.

**B. Qualifications for Appointment**

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

**C. Appointment Procedure**

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

**D. Duration and Nature of Appointment**

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

**E. General Privileges**

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

**F. Academic Privileges**

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

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

**G. Promotion**

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

## H. Compensation

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

## I. Restrictions

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

## J. Exceptions

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

## Librarians

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

## Part-Time Faculty

The University of Houston System recognizes that the community of Houston has a number of outstanding professionals representing a number of disciplines. It recognizes also that the appointment of such persons on a selective basis as part-time faculty members can serve to enrich academic programs throughout the institution. This policy, therefore, is designed to support such selective appointments, to ensure that quality standards are maintained, and to ensure that such part-time faculty members are provided adequate orientation, supervision and assessment of performance.

## Graduate Student Assistantships

The full policy statement regarding graduate assistantships may be found in the *Graduate and Professional Studies Catalog* at <http://www.uh.edu/graduate-catalog>. The Graduate and Professional Studies Committee regularly updates the assistantship policies to reflect current practice and HR regulations. Please refer to that document often, as it is the binding document for students.

## Definitions

1. **Graduate student assistants** are graduate students in good standing enrolled full-time in a graduate program who hold an appointment requiring the performance of such duties as classroom instruction, academic advising, reading papers and examinations, supervision, or research. There are five graduate student appointment categories, encompassing the position of Teaching Fellows, Teaching Assistants, Instructional Assistants, Research Assistants, and Graduate Assistants.
  - a. **Teaching fellows** (TF) have direct student contact in a formal instructional setting and are charged with the primary responsibility for teaching a course for credit under the direct supervision of a faculty member experienced in the teaching discipline, with regular in-service training and planned and periodic evaluations. Teaching fellows are

listed as the instructor of record. Appointments at this level normally imply advanced academic status and substantial prior college or university experience. For SACS compliance, TFs should possess at least a master's degree in the teaching discipline or 18 graduate semester hours in the teaching discipline. Graduate students employed as TFs are not allowed to be instructors of record for courses that carry graduate credit. Examples of duties may include, but are not limited to: classroom/laboratory teaching; recitations, lectures, developing syllabi and lesson plans; holding office hours; consulting on group projects, counseling students; tutoring; and leading student tours and field trips.

- b. **Teaching assistants** (TA) are graduate students who have direct student contact in a formal instructional setting but who do not have primary responsibility for teaching a course for credit; they perform under the instructor's direct supervision and provide general assistance to the instructional process. Teaching assistants may not be listed as instructor of record though they may lecture.
- c. **Instructional assistants** (IA) are graduate students who do not have direct instructional duties but assist employing departments with academic courses, programs, projects, or other activities in support of the instructional process.
- d. **Research assistants** (RA) are graduate students who are engaged in research activities, including but not limited to work in the laboratory or computer work that support the research mission of the employing unit. Please note that students employed in this category are considered part-time staff employees under the university personnel system and are thus not eligible for the same benefits as students employed in the TA, TF, and IA categories.
- e. **Graduate Assistants** (GA) and **Graduate Assistants Non-exempt** (GA-NE) are graduate students whose responsibilities may be administrative in nature or consist of other activities that do not generally fit within the RA, TF, TA, or IA job responsibilities. The Graduate Assistant Non-Exempt is an hourly position. Students employed in this category are considered part-time staff employees under the university personnel system and are thus not eligible for the same benefits as students employed in the TA, TF, and IA categories.

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

## 2. Mandatory Employment Discrimination Training

All Texas State agencies are required to provide employment discrimination training to employees. The University of Houston is a State agency, and graduate students who are employed by UH in graduate student appointment categories (TA, TF, IA, RA, and GA NE) must undergo such training. Graduate and Professional student employees must attend training classes conducted by the Office of *Equal Opportunity Services* not later than 30 days after they are hired and attend supplemental training every two years thereafter. Students holding graduate appointment titles who attend this training will be required to sign a

statement verifying attendance which will be placed in the Graduate Student's personnel file. Contact the [department of major](#) or the *Equal Opportunity Services* for more information.

For all policies regarding qualifications for appointment, duration of assignment, stipends, and conditions of service, please visit the *Graduate and Professional Studies Catalog* at <http://www.uh.edu/graduate-catalog/>.

### **Graduate Tuition Fellowship**

The purpose of the program is to encourage students to complete Ph.D. or MFA degrees in a timely manner. This program replaces the former DSTF (Doctoral Student Tuition Fellowship) and GATF (Graduate Assistance Tuition Fellowship) and is to be used to provide fellowships covering the cost of in-state tuition for up to nine credit hours per long semester. Requests for GTF in summer terms will be reviewed on a case-by-case basis and are limited to available funding. For further details on GTF procedures and administration, view the Graduate School's standard operating procedure memo at: [http://www.uh.edu/graduate-school/forms/GTF\\_SOP.pdf](http://www.uh.edu/graduate-school/forms/GTF_SOP.pdf).

### **Summary of University Graduate Regulations and Policies**

The following list of statements is not comprehensive. It represents, however, a brief summary of regulations and requirements of most critical concern to faculty of graduate students. A detailed description of all graduate student policies can be found in the *Graduate and Professional Studies Catalog* at <http://www.uh.edu/graduate-catalog/>.

- A. Certain categories of graduate students are required to be enrolled full-time (at least 9 semester credit hours in Fall and Spring semesters). Doctoral students shall not be required to register for more than nine hours except for the following:
  1. Special professional students;
  2. Doctoral students enrolled in programs with core curricula requiring 12 hours of organized classes during long semesters; and
  3. Doctoral students enrolled in nine credit hours of organized classes who are conducting research related to their dissertation. Students in this category may be required to register for up to three hours of research or dissertation for a total of twelve credit hours during each long term. Students should contact the department of their major to determine the expected semester credit hour load.
- B. International students (or those on the F-1 or J-1 visa) must be enrolled as full-time students during fall and spring semesters.
- C. A student with a post-baccalaureate status (PB) is not a candidate for a graduate degree. If the student is accepted as a graduate student, hours taken as a PB may or may not count toward a graduate degree. It is imperative that PB students check with their intended graduate program to determine if courses count towards a prospective graduate degree.
- D. Students pursuing a master's degree must complete all requirements within five years after the date of first enrollment.
- E. Students who enroll as doctoral candidates must complete their degree requirements within ten years of the date of first enrollment with a doctoral degree objective. Failure to comply will result in the candidate being ineligible for that doctoral degree.



- F. Doctoral students must be continuously enrolled in each long semester unless they have a leave of absence (as approved by the dean of their college). A doctoral student not on campus, and who is not using University resources, may be permitted under certain circumstances, to carry a reduced course load.
- G. All doctoral students who accumulate more than ninety-nine doctoral semester credit hours at any Texas public institution of higher education will be charged the nonresident tuition rates irrespective of student residency status or any appointment, fellowship, or other circumstance that would normally entitle them to resident tuition rates.
- H. Doctoral students in their last semester are only required to enroll for the number of hours appropriate to their course of study, but not less than three hours.
- I. A graduate student may be employed in a graduate student appointment for no more than six long semesters (3 years) while classified as a master's student, and no more than 10 long semesters (5 years) while classified as a doctoral student. The total number of semesters a student may be employed in a graduate student appointment is twelve semesters (6 years) assuming the student has pursued both the masters and doctoral degrees at the University of Houston.
- J. In order to hold a graduate student appointment, students must be hired by the University to hold the appointment, maintain a GPA of 3.0, be enrolled full-time, and be in good academic standing.
- K. In order to serve as classroom instructors or in other roles that require communicating with students in spoken English (Teaching fellow, Teaching Assistant, Instructional Assistant), graduate applicants must demonstrate proficiency by passing the Test of Spoken English (TSE), the Spoken Proficiency English Assessment Kit (SPEAK) with a score of at least 50, or other approved assessments.
- L. A minimum grade point average (GPA) of 3.00 (B) for all graduate courses attempted is required for all graduate degree programs at the University of Houston. Failure to maintain a 3.00 GPA may result in a warning, probation, suspension, loss of financial support, or dismissal. Students with a conditional admission status must earn a minimum GPA of 3.00 during the first 12 hours of graduate level course work attempted at the University of Houston.
- M. Each program/department/college has specific requirements for the preparation of the thesis or dissertation. It is the responsibility of the student to obtain information from the department or college regarding these specific requirements.

## Promotion and Tenure

These policies relate to the renewal or non-renewal of appointments of all tenure track faculty and to promotion actions for all tenure track and tenured faculty members. For the most up to date information or modifications to this policy see <http://www.uh.edu/provost/faculty-resources/fac-guidelines-docs-forms/>.

### General Overview Policies

The primary responsibility for faculty review lies within the candidate's department and college. It is, therefore, critical that the departments and colleges set their own criteria and quality standards. The promotion and tenure policies are designed to assure that high standards are maintained and that due process is followed. Due process consists of two elements. First, faculty 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 (see section 4.4 and 4.5) should not reflect negatively on that individual's review for tenure.

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

- A. Promotion and/or tenure review is a peer review process. For that reason, only tenured faculty should vote on tenure decisions; only professors should review and vote on applications for promotion to professor. Exceptions must be stated in the appropriate policies that apply at the departmental or college levels.
- B. Committee recommendations must be based on written tenure and promotion criteria and standards that have been previously approved by the Provost.
- C. Committee recommendations must include the name, rank, and title of each member of the review committee. Faculty who vote on a candidate's file at one level may not vote on that candidate a second time at a higher level.
- D. Committee deliberations shall be conducted in confidence and the committee's findings shared in writing with the applicant and the appropriate administrator.
- E. Department chairs/department heads and deans conduct independent reviews and make written recommendations based on an examination of all portfolio materials, including external letters of review and committee findings (see *External Reviews* section).
- F. Each subsequent review body is responsible for considering and documenting any procedural problems it identifies in the prior review and for making every effort to correct any errors caused by those problems.
- G. Applicants are entitled to a reconsideration of the Chair's/department head's, Dean's, and Provost's initial negative recommendations. Further, applicants are entitled to reconsideration of negative recommendations by the department, college and university promotion and tenure



committees. Reconsiderations are limited to errors of fact and procedure. Other avenues of appeal may be available pursuant to department and/or college bylaws.

H. Candidates may update their portfolios before the materials are sent to the next level.

I. After the Provost's final decision, applicants may initiate a grievance within 30 calendar days of receipt of the Provost's letter.

## **Criteria and Standards for Promotion and Tenure**

### **University Criteria**

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

### **Criteria by Rank**

Promotion to associate professor with tenure requires that faculty members have made high quality contributions to knowledge as a result of their scholarly and/or creative achievements, that they are effective teachers, and they have demonstrated an appropriate level of service. There should be evidence of regional, national or international recognition of the candidate's achievements and ability. The evaluations of the candidates' portfolios are conducted by tenured peers in the department and/or college with input from external reviewers. (See *External Reviews* section) The evaluation must find that the candidate has demonstrated a commitment to academic excellence and that there is reasonable expectation that the candidate will meet the standard for promotion to professor in due course.

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

### **Departmental/College Criteria**

Departments and/or colleges are responsible for the application of the criteria and standards for promotion and tenure, consistent with prevailing standards of excellence in their own disciplines. Departmental criteria and standards must first be reviewed and approved by the Dean before final approval by the Office of the Provost and then distributed by the college and/or department to its faculty. At the request of the Provost, departments and colleges will review their promotion and tenure guidelines every five years. Any changes require approval of the Provost before implementation. In addition to being accessible through the Provost P&T website, approved college and department promotion and tenure guidelines should be posted on the respective college and departmental websites for ready access.

## 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](#) 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](#) Faculty Dismissal, [SAM 06.A.09](#) Academic Personnel Policies, and current Faculty Handbook, *see pages 86-89*).

### 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**

Usually, faculty hired with tenure are highly sought individuals who have a demonstrated record of scholarly achievement at the national and international level. Therefore, there is an expedited process to assist in the tenure request.

A proposed faculty hire with tenure must be reviewed and voted on by the promotion and tenure committee both in the home department and at the college level. This documentation along with appropriate department chair and dean recommendation letters are submitted to the Provost for review and recommendation by the full University Promotion and Tenure Committee or a subcommittee of the University Promotion and Tenure Committee. Additional documentation may be required by the Provost. The University Promotion and Tenure Committee or the subcommittee will then submit a written recommendation to the Provost.

### **Probationary Period**

For non-tenured tenure track faculty, the probationary period is defined as the time a faculty member spends under annual appointment in a tenure track position prior to being awarded tenure. The probationary period for tenure shall normally not exceed seven academic years. The number of years and the terms of the probationary period shall be specified in the appointment letter. If a faculty member begins employment after the beginning of an academic year but prior to the end of the spring semester of that academic year, either the probationary period for that faculty member shall be less than seven years, or the faculty member shall serve in a non-tenure track position for the remainder of that academic year and shall then have a probationary period of seven years. Up to three years of prior full-time collegiate-level teaching at the rank of assistant professor or above may be credited to the probationary period. Credit towards the probationary period of an assistant professor is discouraged since this significantly shortens the length of time the faculty member has to achieve the research/scholarship/creative work, teaching, and service accomplishments necessary to achieve tenure. For probationary appointments the final and mandatory review for tenure shall take place in the year prior to the final probationary year--e.g., year six of a seven-year probationary period or year three of a four-year probationary period. Requests may be made for early consideration of promotion and tenure if supported by the Dean.

A leave of absence for childbirth or adoption shall be administered in accordance with the policy on extension of probationary period for childbirth or adoption. Other leaves of absence shall only be considered as part of the probationary period for tenure if stipulated in a written agreement

between the faculty member and the dean of the college prior to the leave period with the approval of the Provost. See Board of Regents [Policy 57.06](#) Leaves of Absence, [SAM 06.A.09](#) section 2.8, Faculty Leaves of Absence, and current version of the Faculty Handbook on Leaves of Absence, *see page 99*.

### **Reviews during Probationary Period**

Every tenure-track faculty will undergo an annual performance review conducted by the department chair or appropriate administrator or committee according to departmental procedures. Additionally, faculty whose appointment letters state that they have at least a four-year probationary period prior to being eligible for tenure must undergo a thorough pre-tenure review. This pre-tenure review is in addition to the annual performance review and will be carried out according to departmental procedures. This pre-tenure review normally is conducted during the faculty member's third year for those on a seven year probationary period. The faculty member under pre-tenure review must submit a portfolio in accordance with departmental/college policies and criteria for mandatory tenure review. An independent review will be conducted by at least the departmental Promotion and Tenure committee and the departmental chair and include any additional review levels mandated in detailing the strengths and weaknesses of the pre-tenure review portfolio. The final letters generated as part of the departmental pre-tenure review become part of any subsequent mandatory tenure review portfolio.

### **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](#) 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 Faculty Dismissal](#), [SAM 06.A.09 Academic Personnel Policies](#), and the Faculty Handbook on pages 91-93.*

## **Time in Rank**

*(For a basic definition of these ranks, see the Faculty Handbook on pages 42-43.)*

- A. **Assistant professors** shall normally serve a probationary period not to exceed seven years. Promotion to associate professor is concurrent with the award of tenure unless otherwise stipulated by the Provost due to special circumstances. During the first year of appointment, a tenure track faculty member who has not yet been awarded their terminal degree will be placed in an instructor position. The title of instructor at the University of Houston will be in the tenure track rank with time spent as an instructor counted in the probationary period. In accordance with the terms of the offer letter, if the faculty member is awarded his or her terminal degree as outlined and the appointment is continued, the faculty member will be moved into an assistant professor position beginning in the fall of the following academic year. Time spent as an instructor under these circumstances can be counted in the probationary period. No instructor may be awarded tenure. In those rare circumstances when a faculty member is appointed as an instructor after January 1 of a given academic year and a decision is made not to count the remainder of the academic year in the probationary period, time spent as an instructor under these circumstances will not be counted in the probationary period.
- B. **Associate professors** appointed without tenure shall normally serve a probationary period not to exceed four years. Associate Professors may be appointed with tenure in accordance with applicable university policies. In cases of exceptional merit, the probationary period specified in the appointment letter may be shortened by the President or designee at the request of the appropriate dean. No specified time in rank is required for promotion from associate to professor.
- C. **Professors** appointed without tenure shall normally serve a probationary period not to exceed four years.
- D. Individuals, whose positions are classified as full-time University of Houston staff due to the nature of their administrative role, may negotiate a tenured position during the hiring process. The normal review process for hiring with tenure must be followed including policies applicable to administrators with faculty rank, including executive management employees. Tenure does not exist in any administrative capacity; tenure may only be awarded in conjunction with faculty rank. 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](#) and [SAM 06.A.09 Academic Personnel Policies](#). No administrator may be given faculty status or tenure without a review and positive recommendation from the academic unit involved.

Recommendations for tenure and promotion shall be transmitted annually by April 1 along with all supporting documentation, from the university Presidents to the Chancellor.



## **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 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.

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

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

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

## **Policy on Extension of the Probationary Period for Emergencies**

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

Requests must be made in writing and submitted within six months after the emergency circumstances or personal circumstances occur. The request must be forwarded through the Department Chair/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.

## **University of Houston Promotion and Tenure Committee**

Twelve colleges are represented on the University Promotion and Tenure Committee, including: the Gerald D. Hines College of Architecture, the C. T. Bauer College of Business, the College of Education, the Cullen College of Engineering, the Conrad N. Hilton College of Hotel and Restaurant Management, the Law Center, the College of Liberal Arts and Social Sciences, the College of Natural Sciences and Mathematics, the College of Optometry, the College of Pharmacy, the College of Technology, and the Graduate College of Social Work. The Provost selects one

faculty representative from each of the colleges based on four nominations, two from the Faculty Governance Committee of the Faculty Senate and two from the Dean. Nominees must be tenured, with full professors given preference. Members serve three-year terms with approximately one-third of the membership due for replacement annually.

If appointed to an administrative position (such as dean, department chair/department head) while serving on the University Promotion and Tenure Committee, the member will be replaced at the appropriate time by the Provost.

Faculty who vote on a candidate's file at one level may not vote on that candidate a second time at a higher level.

## Promotion and Tenure Guidelines

(Note: As the Faculty Handbook is revised on a biennial basis, please check the Provost's Office website at <http://www.uh.edu/provost/fac/fac-guidelines-docs-forms/prom-ten/index.php> for the most current information.)

### University Procedures for Tenure Reviews

Each spring, department chairs and deans review faculty appointment letters and inform all faculty with upcoming mandatory tenure reviews that their applications will be considered during the next promotion and tenure cycle. The Provost's Office will issue annual procedures, guidelines, checklist and timeline by May 1 to all deans, department chairs/directors. Before the end of the spring semester, these administrators should provide the web addresses of the department, college, and university procedures, guidelines and timelines to all candidates for promotion and/or tenure, which should be accessible on the college and/or department's respective websites.

Candidates are encouraged to obtain applicable procedures, guidelines, and timelines for departmental and college reviews. Procedures and the submission process for university reviews and for the applicant's portfolio are listed on the Provost's Office website or see current version of the Faculty Handbook.

Candidates up for non-mandatory review may withdraw their applications for promotion/tenure without penalty at any time during the review process prior to the portfolio being transmitted to the University Promotion and Tenure Committee. See section on Procedures for Non-mandatory Review. However, when the reviews are mandatory, the withdrawal must be accompanied by a resignation letter effective no later than the end of the terminal year and a signed Faculty Separation Form.

Candidates must be advised of a decision not to award tenure at least 12 months prior to the expiration of the probationary period. After the Provost's final decision, should the candidate believe that there were serious procedural violations that subsequent reviews failed to correct, the candidate may file a grievance (see Appendix E or applicable promotion and tenure grievance procedures in the current version of the Faculty Handbook, and UH General Grievance Procedures in Appendix G or applicable policy/procedures).

### Departmental/College Reviews

#### Prior to the Review

##### Time-line for Review

Deadlines for uploading the candidate's portfolio to the University's electronic promotion and tenure site, completing the departmental-level committee, chair, college-level committee and dean review will be determined within the college. This time-line must allow a minimum of 5 working days to allow rebuttal by the candidate of a negative recommendation or to offer new information at each level of the review process. Colleges must complete their review and submit the complete portfolio to the university review level by the last day of class of the fall semester.

##### Department

The candidate is responsible for assembling his or her portfolio (with the exception of external review letters) and then uploading all portfolio materials to the University's electronic promotion and tenure site. Candidates are also responsible for maintaining a copy of all



portfolio materials (See Applicant's Electronic Folder section). The candidate should include the appropriate research/scholarship/creative work, teaching, and service documentation that reflects his or her achievements in the portfolio.

The department chair is responsible for requesting external review letters for the promotion and tenure candidates. (*See External Review on pages 71-72*).

## **College**

Each college must have written policy statements that govern the promotion and tenure process at the college level. These policies state criteria for tenure and promotion. College procedures take precedence over departmental policies. At the request of the Provost, departments and colleges will review their promotion and tenure guidelines every five years. Any change requires approval of the Provost before implementation.

## **During the Review**

### **Department**

Departmental review committees are responsible for reviewing all persons applying for tenure and promotion in the department and for writing a recommendation letter. The letter must address the strengths and weaknesses of the candidate and justify the recommendation.

Department chairs are responsible for reviewing all persons applying for tenure and promotion in the department and for writing a recommendation letter. The letter must address the strengths and weaknesses of the candidate and justify the recommendation. Justification for each recommendation should be clearly and fully stated. Moreover, justifications should address the merits of each individual case and should not be mere summaries or restatements of earlier assessments. Department chairs are responsible for conducting an independent review and correction of any errors in the departmental evaluation that were caused by procedural problems within the committee.

In the event of an initial negative recommendation, candidates may ask for reconsideration in writing of the committee's and/or chair's decisions to rebut statements made or to offer new information for the review. The reconsideration may not question the professional judgment of the reviewer or review body. After the reconsideration, the review body shall respond in writing to the candidate. The reviewer or review body may choose to comment on any new information offered, but is not required to do so. If the recommendation after reconsideration remains unchanged, the reviewer or review body need not prepare any further justification and may stand by their initial justification.

The chair is responsible for ensuring that the departmental committee's votes and their justification, the chair's decisions, and any rehearing letters are included in the candidate's electronic folder prior to the college-level review. University policy mandates that no extraneous materials be included in the candidate's electronic folder prior to the college-level review. Examples of extraneous materials include letters of support solicited by the candidate, information in the candidate's personnel file, letters from committee members expressing individual or minority opinions, etc.

The department/college must maintain a copy of the candidate's portfolio in a confidential manner.

## College

College review committees are responsible for reviewing all persons applying for promotion and tenure within the College and for writing a recommendation letter. The letter must address the strengths and weaknesses of the candidate and justify the recommendation. The college committee is responsible for correcting any errors in the evaluation that were caused by procedural problems during previous reviews.

Deans, in consultation with college promotion and tenure committees, are responsible for reviewing all persons applying for tenure and promotion in the department and for writing a recommendation letter. The letter must address the strengths and weaknesses of the candidate and justify the recommendation. Justification for each recommendation should be clearly and fully stated. Moreover, justifications should address the merits of each individual case and should not be mere summaries or restatements of earlier assessments. Deans are responsible for conducting an independent review that corrects any errors in the evaluation that were caused by procedural problems during previous reviews.

In the event of an initial negative recommendation, candidates may request in writing reconsideration of the committee's and/or dean's decisions. This process is designed for faculty members to rebut statements made or to offer new information. The reconsideration may not question the professional judgment of the reviewer or review body. After the reconsideration, the reviewer or review body shall respond in writing to the candidate. The reviewer or review body may choose to comment on any new information offered, but is not required to do so. If the recommendation after reconsideration remains unchanged, the reviewer or review body need not prepare any further justification and may stand by their initial justification.

The dean is responsible for ensuring that the committee's votes and their justification, the dean's decision, and any rehearing letters are included in the candidate's electronic folder prior to the university-level review, by the last class day of the fall semester. University policy mandates that no extraneous materials be included in the candidate's electronic folder prior to the university review. Examples of extraneous materials include letters of support solicited by the candidate, information in the candidate's personnel file, letters from committee members expressing individual or minority opinions, etc.

## University Reviews

The University Promotion and Tenure Committee advises the Provost on all promotion and tenure candidates including those proposed hires with tenure (see [SAM 06.A.09](#) appointment provisions and foregoing section of this policy addressing appointment with tenure). The committee provides its recommendation, accompanied by the votes and justification to the Provost, who then conducts an independent review. The Provost may seek additional advice from members of his/her staff, the dean, or other appropriate persons. The Provost informs each candidate of his/her decision.

In the event of an initial negative recommendation, candidates may ask for reconsideration in writing of the committee decision to review errors of fact or procedure. The reconsideration may not question the professional judgment of the review body. After the reconsideration, the review body shall respond in writing to the Provost. The review body may choose to comment on any new information offered, but is not required to do so. If the recommendation after reconsideration remains unchanged, the review body need not prepare any further justification and may stand by the initial justification.

After any reconsideration, the Provost makes final recommendations and provides justifications to the Chancellor/President. The Chancellor/President reviews those recommendations and makes tenure decisions and recommends promotion actions to the Board of Regents, which makes the final tenure and/or promotion decisions. The promotion and tenure actions take effect at the beginning of the following academic year.

### **Procedures for Non-mandatory Reviews**

Faculty who would like to be considered for a non-mandatory promotion should contact the department chair and the dean's office and obtain a copy of the University Guidelines. The timelines and procedures are generally the same as for mandatory reviews.

Faculty members undergoing non-mandatory reviews who believe they will be unsuccessful at the University level may withdraw their applications without penalty at any time during the departmental and/or college level review process.

### **External Reviews**

The department chair/department head is responsible for requesting external review letters for the promotion and tenure candidates according to the procedures outlined in the college/department bylaws for identifying external reviewers. Letters to reviewers should include a brief description of the candidate's department and its mission. Letters should also specify a date for return of the evaluation. Candidates will not be shown or have access to external letters as part of the promotion and tenure process. The letters to reviewers must include relevant criteria for promotion and/or tenure (see *Criteria by Rank* section). The candidate's electronic folder should typically contain four to six letters, but no less than three and no more than nine external review letters. ALL external review letters received in response to a department's request must be included in the candidate's electronic folder. External reviewers should have achieved: national recognition in their field and be a tenured Associate or Full Professor to be eligible to provide a recommendation letter for promotion and/or tenure at the Associate Professor level; or national or international recognition in their field and be a Full Professor if providing a letter of recommendation for an Associate Professor seeking promotion to Full Professor. External reviewers must be scholars who are not current or former thesis/dissertation advisors, co-authors, former students, relatives, former collaborators, mentors, or close personal friends of the candidate. External reviewers must have demonstrated expertise or knowledge in the area of the candidate's scholarship. For the purpose of review, the candidate's electronic folder must contain one sample copy of the request letters to reviewers, a one-paragraph description of the qualifications of each external reviewer (also include name, title, rank, position, and institutional affiliation), disclosure of any prior relationship between the candidate and the reviewer that could be perceived to impact the "arms-length" nature of the review, and a description of the process used for the selection of the external reviewers including a list of the nominators of outside reviewers. Candidates will not be shown or have access to this information.

In requesting evaluations, the chair/department head should ask the external reviewers:

- A. What is the nature, if any, of your professional contact with and knowledge of the candidate?
- B. Does the candidate's work, taken as a whole, constitute a serious and significant contribution to the discipline? (If applying for tenure, there should be evidence of regional, national or international recognition of the candidate's achievements and ability. If applying for promotion to professor, there should be evidence of national or international recognition of the candidate's achievements and ability.)

- C. What is your assessment of the candidate's contributions in the areas of research, scholarship or other creative activity?
- D. Is the candidate a scholar whose work is likely to become known and respected by leaders in the field?
- E. Does the external reviewer recommend promotion and/or tenure of the candidate?

### **Applicant's Portfolio/Electronic Folder**

Thorough documentation should be submitted by the candidate as evidence for all items claimed in the candidate's vita. A candidate checklist is available on the Provost's website.

#### **A. Face Sheet**

This electronic form must be prepared by the candidate's dean's office.

#### **B. Internal Letters**

The candidate's electronic folder must include any department or college committee evaluation reports generated during any non-mandatory pre-tenure review, letters from chair to dean and dean to Provost, and any appeals letters. University policy mandates that no extraneous letters or materials be included (See *During the Review* section).

For those coming up for tenure, copies of the initial letter of appointment to the university and the results of any mandatory probationary reviews (e.g. third year review) must be included in the candidate's electronic folder. For promotion to professor, documentation of previous promotion or appointment letter must be included.

#### **C. External Review Letters**

See *External Reviews* section.

#### **D. Candidate's Statement**

The candidate must include a brief (no more than three pages) statement. The statement may include academic career goals, accomplishments, and directions for future work. The candidate may describe how all facets of his/her career form an integrated, successful profile or the candidate may identify achievements in the areas of teaching, scholarship, and service separately.

#### **E. Vita**

The candidate must include a vita that is appropriate for the discipline.

#### **F. Portfolio**

The purpose of the portfolio is to provide detailed supporting documentation demonstrating the current and likely future impact of the applicant's activities in research, teaching, and service. The documentation should support the Vita and Candidate's Statement.

The following categories are suggested for candidates to document how they have carried out the university's research/scholarship/creative work mission.

## 1. Research, Scholarship, Creative Work

- a. **Scholarly/Creative Work – Representative Works:** Include samples of scholarly/creative products sufficient to demonstrate the scope, quality, and impact of the candidate's activities. For each sample state the candidate's role and contribution.
- b. **Funded Research/Scholarly/Creative Work Grants:** The following information should be included for each grant:
  - (1) Name of the principal investigator and all co-investigators;
  - (2) Title of the grant proposal;
  - (3) Funding agency;
  - (4) Amount of the grant;
  - (5) Time period of the grant; and
  - (6) Candidate's role and contribution.
- c. **Research Proposals:** The following information should be included for each proposal:
  - (1) Name of the principal investigator and all co-investigators;
  - (2) Title of the grant proposal;
  - (3) Funding agency;
  - (4) Amount requested; and
  - (5) Candidate's role and contribution
- d. **Generation of intellectual property:** List any patents issued or pending including patent number, date of filing, and status (provisional, non-provisional, issued).
- e. **Major Work(s) in Progress:** The information provided here should comment on the nature of the work(s) and identify anticipated date of completion.
- f. **Other Indicators of Scholarly Creative Work:** List book reviews, editorial contributions, citations, research awards, and other indicators of contributions to the discipline/profession, cited in the format of the discipline's style.

## 2. Teaching and Student Learning

Documentation in this section includes evidence of a commitment to teaching and learning, including:

- a. **Student Evaluations of Teaching.** Student evaluation data should include summaries of teaching evaluations with comparative departmental/college data. Teaching effectiveness ratings should include all classes taught by untenured candidates. Candidates for professor must include those classes taught in the last five years. Results should be summarized in a single table that includes evaluations for all courses taught and information about the instrument's items and response scale. In programs

where individual classes, small studios, or performances are the norm, special care should be taken to assure full and comprehensive teaching evaluations.

- b. Undergraduate and Graduate Student Mentoring.** The candidate should describe role and duration of mentoring.
- c. Course and Program Development and/or Revision.** Information about course, curriculum, and program development can provide evidence of a commitment to student learning. The candidate's contribution to course development may be documented with sample course syllabi, teaching-grant proposal abstracts, courseware, cases and simulations, brief descriptions of student projects, examples of modifications for Instructional Television or Internet teaching, etc. Evidence of program development may include student recruitment, advising, and retention; directing graduate research; membership on or chairperson of dissertation or thesis committees; interdisciplinary program development, etc.
- d. Other Evidence of Teaching, Student Learning, and the Scholarship of Teaching.** Candidates may submit evidence that they have facilitated students' success. Examples may include contributions to students who have won awards, unsolicited letters from community members who have benefited from student projects or internships, and other evidence that the candidate contributed to student learning. This section may also contain evidence of the candidate's commitment to enhancing his/her teaching ability. Professional development activities, scholarly approaches to evaluating teaching effectiveness, teaching excellence awards, and guest lecturing or team teaching should also be documented here.

### 3. Service

The candidate should provide a complete listing of the categories below with dates of service and documentation as appropriate.

- a. Service to the Department, College, and University:** List committee membership, administrative roles, and other contributions to the university.
- b. Service to the Profession/Academic Discipline:** Describe activities that strengthen the profession, including leadership in professional organizations.
- c. Service to the Community or Public:** Document public involvement that is related to the candidate's area of expertise, including speeches, expert advice to community organizations, donations of creative or scholarly efforts to public institutions, consultations with private organizations, etc.
- d. Service to State or National Organizations:** Document service on expert panels, advisory boards or state or federal granting, licensing, or oversight councils, boards, or committees.
- e. Other Contributions:** The candidate may provide evidence of other significant contributions that advance the profession/discipline.



## **Grievance in Promotion and Tenure Matters**

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

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

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

Faculty members who wish to invoke a grievance procedure against a negative promotion or tenure recommendation may do so at the college and/or university level. For details on the general grievance process, see procedures following. Also, refer to UH General Grievance Procedures in *pages 81-83*.

## **University of Houston Promotion and Tenure Grievance Procedures**

On a promotion or tenure matter the following additional procedures for grievance shall be followed:

- A. In his/her written appeal or grievance to the University of Houston Grievance Committee, the faculty member shall set forth in detail the nature of the grievance and shall submit factual material pertinent to his/her case. By filing, the faculty member consents to the Grievance Committee having access to those materials and documents in the electronic dossier it deems relevant to the proceedings.
- B. Should the faculty member allege that there were procedural discrepancies in the process concerning the promotion and/or tenure decision, the Grievance Committee shall decide whether or not to recommend reconsideration by the Provost, with the understanding that the Grievance Committee shall not substitute its judgment for that of the review bodies. If the Grievance Committee recommends reconsideration by the Provost, it shall indicate in what respects it believes the initial consideration may have been inadequate. If the Grievance Committee decides that adequate consideration has been provided, its decision shall be considered final. Any Grievance Committee decision shall be reported in writing and transmitted promptly to the faculty member, the department chair, the college dean, and the Provost. In all actions resulting from a recommendation to reconsider, the decision of the Provost shall be final.

- C. If the faculty member alleges that violations of academic freedom significantly contributed to a decision not to grant him/her tenure or promotion, the Grievance Committee shall decide whether or not there should be a formal hearing. If the Grievance Committee decides in favor of holding a formal hearing, the matter will be heard in the manner set forth below in the section on "Dismissal of Faculty Members with Tenure and Special or Probationary Appointments Before the End of the Specified Term of Appointment," except that the faculty member making the *grievance* is responsible for stating the grounds upon which s/he bases his/her allegations, and that the burden of proof shall rest upon him/her. If the faculty member succeeds in establishing a *prima facie* case, it is incumbent upon those who contributed to the decision not to tenure or promote him/her to come forward with information in support of the decision. If the Grievance Committee decides against holding a formal hearing, its decision and the reasons therefore shall be stated in writing and transmitted promptly to the faculty member, the department chair, the college dean, the Provost, and the President.

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

## **Post-tenure Performance Review**

See Board of Regents [Policy 21.11](#) on Post-tenure Performance Review

(<http://www.uhsa.uh.edu/board-of-regents/policies/index.php>)

## **University of Houston Post-tenure Review Policy**

### **Preface**

The university recognizes that the quality of the institution is directly dependent upon the quality of its faculty. The university is therefore committed to providing resources and policies which support the faculty's own efforts to enhance quality. These commitments are bonds uniting the university and its faculty in a common objective, the continued pursuit of academic excellence. These efforts to promote academic excellence confirm that the university and faculty remain accountable and worthy recipients of the public's trust. Several current policies promote these objectives: (1) departments and colleges undertake highly selective, national searches and only outstanding candidates are offered tenure track employment; (2) newly appointed faculty members undergo a comprehensive third year review; (3) candidates for tenure undergo a rigorous screening process in their sixth year of employment; and (4) departments and colleges also conduct reviews of faculty members for merit raises. Any time an evaluation results in a finding of incompetence, neglect of duty or other good cause, the university may initiate action for dismissal and revocation of tenure.

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

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

### **UH Performance Evaluation of Tenured Faculty**

- A. A comprehensive peer review of all full-time faculty is conducted annually at UH.
1. This annual merit review is intended to function as the post-tenure review mandated by statute and Board policy. That is, it shall be a comprehensive performance evaluation, shall be based on the professional responsibilities of the faculty member in teaching,



research, service, patient care, and administration, shall include peer review, and shall be directed towards the professional development of the faculty member, as required by the Education Code, Section 51.942 .

2. For the vast majority of faculty the result of the relative ratings of the annual merit review will itself constitute the satisfactory evaluation required for post-tenure review. Only when there is an apparent performance problem from the annual merit review will the reviewing body have to proceed to a further evaluation to assess the performance on the basis of the absolute performance standards established by the unit's tenured faculty. The primary evaluative period will start with the materials already assembled and reviewed for the annual merit review.

- B. The evaluation is a "rolling" 36 month one, with a judgment made on the overall preceding 36 months.

The overall judgment of performance based on 36 months protects the faculty member who, for personal or other reasons, may have had a period (say a year) of less productive performance.

- C. The evaluation is based on the professional responsibilities of the faculty member, in teaching, research, service, patient care, and administration. The tenured faculty of each unit will establish the performance standard pending approval of the Chair, Dean, and Provost.

1. The tenured faculty members of an academic discipline represent, by the very nature of their specialized knowledge and skills, the best group to develop standards by which to judge their colleagues.
2. A faculty member's administrative responsibilities shall be subject to the established annual review procedures for administrators as codified in Board of Regents Bylaws, System Administrative Memoranda, and university policies.

- D. The review process shall be directed towards the professional development of the faculty member.

### **Outcomes of Annual Performance Review**

- A. Satisfactory performance

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

- B. Unsatisfactory

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

- C. Consequences

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

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

## **The Post-tenure Review Process**

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

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

- B. If a faculty member receives a rating of unsatisfactory, the tenured departmental faculty will meet and judge the case unless that faculty member chooses to omit this step. If the faculty deems the individual's performance unsatisfactory, the faculty member must receive in writing a statement of the performance deficiencies which resulted in the rating of unsatisfactory.
- C. The unit administrator (Chair or Dean) will work with the faculty member to develop and monitor the FDP. Such a plan must be approved by the Dean and Provost.
- D. The FDP has a maximum duration of two years. The faculty member will receive post-tenure evaluations as normal during the FDP to provide feedback. The committee's post-tenure review evaluation determines the outcome of the FDP on the basis of performance at the end of the process.
- E. The conclusion of the initial FDP will result in one of three actions:
  - 1. Performance has improved sufficiently to be considered satisfactory.
  - 2. Performance has improved sufficiently to provide cause for extension of the FDP for an additional period up to one year.
  - 3. Performance remains unsatisfactory. This will lead to disciplinary action which may include, at the initiation of university administration, dismissal for cause under Board of Regents Policy 21.07.

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

## **Reporting Mechanisms**

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

## **Due Process and Grievance Procedures**

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

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

## Grievances

The grievance process is intended to provide conflict resolution.

### Policy

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

This grievance policy applies to all faculty members as well as librarians of the University of Houston Libraries. This policy applies to grievances of any kind not covered by specific grievance policies, including but not limited to, matters of salary, hours and conditions of employment, promotions, assignment of teaching duties, and allotment of resources and facilities. The University of Houston System's Interim Discrimination and Harassment Policy ([SAM 01.D.07](#)) and Interim Sexual Misconduct Policy ([SAM 01.D.08](#)) provide the process for recourse for faculty who believe they may have been the victim of discrimination or harassment relating to legally protected classes or status or sexual misconduct. The University Office of Equal Opportunity Services is responsible for the investigation and resolution of these complaints.

### Procedures

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

#### A. Informal Process

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

#### B. Formal Process

##### 1. Formal Grievance Initiation

If the informal process does not alleviate the grievance, then the faculty member may petition the dean for redress of the grievance by filing a formal written grievance. If the grievance is against the chair or if the dean participated in the informal grievance process, the faculty member should file the formal grievance with the college grievance committee. If the grievance is against the dean, the faculty member should file the grievance with the University of Houston Grievance Committee. All other grievances should be filed with the dean.

In filing the grievance, the faculty member should submit a written statement to the dean, college grievance committee, or university grievance committee that includes: the names of the parties involved in the grievance, specific issues and actions upon which the

grievance is based, the desired outcome or remedy, and documentation supporting all charges involved in the grievance.

After the grievance is filed, the faculty member may be accompanied by a representative who may assist in the presentation of his/her case to the dean, college grievance committee, or university grievance committee.

Recommendations/decisions rendered by the dean or the college grievance committee at this stage shall be in writing, setting forth the recommendations and reasons, and shall be transmitted promptly to the grievant and the persons named as parties in the grievance (hereafter referred to as "respondents"). As indicated in below, decisions and reasons of the University of Houston Grievance Committee shall be transmitted by the Provost to the faculty member, the respondent(s), the dean, the University of Houston Grievance Committee, and the Chancellor/President.

## 2. Grievance Decision Appeals

When a grievance is initially filed with the dean, a faculty member can appeal the dean's decision at the college or school level and the university level. Decisions in grievances initially filed with the college grievance committee may be appealed at the university level. The information below addresses the procedures for university level appeals to the University of Houston Grievance Committee. In the presentation of his/her appeal to the college grievance committee or university grievance committee, the faculty member may be accompanied by a representative who may assist in the presentation of the appeal.

### a. College or School Level Appeal

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

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

Recommendations rendered by the college grievance committee shall be in writing, setting forth the recommendations and the committee's reasons, and shall be transmitted promptly to the grievant and respondent(s) in the dispute and the dean.

If the dean finds the college grievance committee's recommendation unacceptable or impossible to implement, s/he must state this in writing and transmit the statement to

the grievant, respondent(s) and to the college grievance committee within ten working days of that committee's decision.

b. University Level Appeal

If the aggrieved person is not satisfied with the disposition of his/her grievance by the college grievance committee (or the dean's statement of unacceptability or impossibility) and wishes to appeal it, s/he must submit the grievance within ten working days of receiving written notification of that college grievance committee's decision (or correspondingly within ten working days of the dean's statement) to the University of Houston Grievance Committee. If no decision has been rendered by the college grievance committee within 45 calendar days after the grievance is submitted to the college committee, the aggrieved faculty member must submit the grievance to the University Grievance Committee within five additional working days. When the college is not the appropriate level for redress, a faculty member may submit a written grievance directly to the University of Houston Grievance Committee. In all cases the University of Houston Grievance Committee shall determine whether it is the appropriate level for redress of the grievance. Committee members will be recused from hearing any grievances in which they were involved at a previous level of review or in which they have a personal involvement.

### **UH General Grievance Procedures**

[Note: For grievance procedures related to Promotion and Tenure, *see page 83*]

The faculty member initiating the grievance (hereafter referred to as "grievant") must file a written statement of the grievance with the Chair of the University Grievance Committee. The statement of grievance must contain the following information:

- A. The names of the parties involved in the grievance.
- B. Specific issues and actions upon which the grievance is based.
- C. The desired outcome or remedy.
- D. Documentation supporting all charges involved in the grievance.

Upon receipt of the grievance, the Chair of the Committee forwards a copy of the grievance to the Provost.

The Grievance Committee shall decide whether or not the evidence submitted in support of the grievance warrants a detailed investigation or a formal hearing. If the Committee decides against holding a formal hearing or conducting a detailed investigation, the decision and the reasons thereof shall be stated in writing and transmitted promptly to the faculty member, the respondent(s) and the Provost.

If the Grievance Committee decides that the evidence submitted warrants a detailed investigation or formal hearing, the Chair provides a copy of the grievance and the evidence submitted in support of the grievance to the respondent(s). Upon receipt of the grievance, the respondent prepares a response and submits to the Committee the response and any materials relevant to the case within a time frame identified by the Committee, but no later than thirty calendar days from receipt of the grievance.

The Grievance Committee conducts the detailed investigation or formal hearing in accordance with its procedural rules. The investigation or hearing may be conducted by the Committee as a whole or may be assigned to a subcommittee. All such subcommittees shall be responsible and report to the University of Houston Grievance Committee. A quorum of the hearing committee is required during all deliberations.

Any member of the Grievance Committee who is directly involved in the grievance or who has been a member of a previous committee involved with the case is not eligible to serve on the hearing committee.

The hearing committee is responsible for conducting its investigation or hearing in a timely manner and in accordance with any deadlines established during the formulation of the procedural rules.

The grievant and respondent may be accompanied by an advocate who may assist the grievant or respondent in presenting the case or response to the hearing committee. If an advocate is appearing for any party in the grievance, all parties shall be allowed to have their advocates present during the hearing. It is the responsibility of the grievant or respondent to communicate with their advocates about hearing committee proceedings. The proceedings shall be conducted as follows:

- A. A formal hearing begins with an introduction by the Chair followed by brief opening statements by the grievant and the respondent(s). After opening statements, the grievant is provided an opportunity to present his/her case, and then the respondent(s) is provided an opportunity to present his/her case. The grievant and respondent may request that witnesses give testimony on their behalf during the presentation of their cases. Testimony by additional witnesses who were not identified prior to the hearing is determined by the hearing committee on a case-by-case basis.
- B. If a person is not available to testify, the Chair may request written testimony.
- C. Both the grievant and the respondent may present to the hearing committee a list of questions that they would like the committee to ask the other party during their testimony as cross-examination.
- D. All testimony given before the hearing committee is recorded on audio tape. During the course of the proceedings, these tapes are placed on file in the office of a hearing committee member, who will be designated by the committee. Upon request, copies of these tapes and copies of hearing exhibits will be made available for review by the grievant, respondent, and hearing committee members.
- E. If further investigation is needed, the hearing committee may request additional documentation or testimony. All parties will have an opportunity to be present for any additional testimony and respond to any additional information submitted to the hearing committee by the committee's specified time.

Upon completion of all testimony and responses, the hearing committee meets to deliberate. The hearing committee is responsible for preparing a report of findings and recommendations.

If heard by a subcommittee, the report is first submitted to the Grievance Committee for approval. The Grievance Committee Chair promptly transmits the report of findings and recommendations to the Provost with copies to the grievant, respondent, and dean. The report shall set forth the findings of fact, conclusions, and recommendations. The complete grievance file and tapes of the proceedings are also forwarded to the Office of the Provost, where they are kept in



accordance with the Record Retention Schedule. The Provost considers the advice of the Grievance Committee and makes an independent ruling on the case.

The grievant and/or respondent may, by written request, seek the opportunity to meet with the Provost. The Provost's decision shall be final. The Provost shall transmit the final decision and the supporting reasons to the faculty member, the respondent(s), the University of Houston Grievance Committee, the dean and the Chancellor/President.

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

For Grievance Procedures Relating to Promotion and/or Tenure Decisions *see page 83*.

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

The policy below is the university-wide grievance policy as stated in the *Graduate and Professional Studies Catalog* at the beginning of the Fall 2015 semester and is subject to review by the Graduate and Professional Studies Committee. To ensure you have the most current policy, view the catalog online at <http://www.uh.edu/graduate-catalog/>.

To ensure that students understand how to pursue a grievance at the University of Houston, students are encouraged to seek clarification regarding procedures and information for individual grievance policies through their respective college before initiating a grievance. Please refer to the college Web site grievance policy links below.

[C.T. Bauer College of Business](#)

[College of Education](#)

[College of Liberal Arts and Social Sciences](#)

[College of Natural Sciences & Mathematics](#)

[College of Optometry](#)

[College of Technology](#)

[Conrad N. Hilton College](#)

[Cullen College of Engineering](#)

[Gerald D. Hines College of Architecture](#)

[Graduate College of Social Work](#)

[Law Center](#)

The following university-wide policy and procedure, for graduate, professional, and post-baccalaureate (PB) students, apply to the redress of grievances concerning academic and instructional matters and other issues for which there are no other existing grievance procedures.

- A. Every effort shall be made by the graduate/professional/PB student and the faculty member(s) involved to settle their differences amicably and informally to redress the grievance. If appropriate or necessary, the department chair shall participate in this informal effort to resolve this grievance. Students in colleges and schools where graduate programs are not administered by a department shall have an alternative person (i.e. Associate Dean, program director or an appropriate designee) to resolve the grievance.
- B. In the event that an informal resolution is not possible, the graduate/professional/ PB student may petition the department chair or the alternative (Associate Dean, program director or an appropriate designee) by filing a formal written complaint within ten working days after the

decision is mutually made that the grievance cannot be settled informally. The letter should provide details regarding the complaint and redress sought. After receipt of the letter, the department chair or alternative must respond in writing within the time specified according to the department's or program's established procedures for dealing with such matters.

- C. In the event that either the grievant or the respondent is unsatisfied with the outcome of the departmental level process (items A and B above), that party may petition the dean of the college against which the grievance is held or the dean's designee-by filing a formal written petition. The dean of the college must respond in writing within the specified time according to the college's established procedures for dealing with such matters. The dean's response must include an explanation for his/her decision.
- D. If either the grievant or the respondent is unsatisfied with the outcome of the college level process, that party may file an appeal seeking university level review by the Graduate and Professional Studies Grievance Committee (GPSGC) which is under the purview of the Vice Provost/Dean of the Graduate School. This appeal must be in writing, explaining the party's position, and filed with the Vice Provost/Dean of the Graduate School within 30 calendar days of the final disposition at the college level. The appeal may designate as respondents any of the following persons: (i) the college dean or designee who issued the decision at the college level; (ii) the departmental chair who issued the department's decision or the alternative; and (iii) the original faculty member or committee members giving rise to the grievance. In the absence of a designation, only the faculty member or committee members will be respondents. The appeal must include a concise statement of the outcome desired by the appellant.

*Review at the university level shall be for the purpose of determining:*

(i) Whether the appealing party was given a reasonable opportunity to be heard at the departmental and college levels and (ii) whether the college's decision was reasonably reached. Procedural violations which would not affect the substantive result or are not substantially prejudicial to either party are not grounds for appeal.

Upon receiving a written appeal, the Vice Provost/Dean of the Graduate School will review the reports from the department and college grievance processes and will, within ten working days, determine whether to return the grievance to the department or college, reject the appeal, or refer the appeal to a committee. If the Dean decides to refer the appeal to a committee, the Dean will notify the chairperson of the Graduate and Professional Studies Committee (GPSC), who will appoint a committee (GPSGC) within ten working days of receiving such notification.

The GPSGC will consist of two graduate/professional students and three faculty members, none of whom will be from the respondent's department or program or from the department or program in which the grievant is enrolled. The faculty members will be appointed by the chair of GPSC on an ad hoc basis. The chair of GPSC will also select the student members from a pool of graduate students provided by each of the colleges. The chair of the committee will be elected by the committee members. All members of the committee will have voting privileges. The GPSGC will review the appeal file and may also request other documents as it sees fit.

Within thirty calendar days of being formed, the GPSGC should schedule an appeal hearing with the interested parties. This deadline may be extended at the GPSGC's discretion upon written request of a party or upon stipulation of all parties. No record of the hearing will be required and the deliberations will be completed with reasonable speed. If a recording is



made (at the discretion of the committee), it should be made available to all parties. Counsel for each of the parties involved may be present with that person, but will not be allowed to speak at the hearing. Expert resources should be available to the committee in an advisory capacity as needed. The GPSGC will report its recommendations in writing to the Vice Provost/Dean of the Graduate School within ten working days of the hearing, who will make a decision within ten working days following their receipt. The Vice Provost/Dean of the Graduate School will forward a copy of this decision in writing to the parties, to the dean of the college in the event he/she is not a party, and to the GPSGC. Any party may file, within ten working days of notification, a written appeal of the decision to the Senior Vice President for Academic Affairs and Provost. The Provost may conduct a plenary review. The Provost's decision, presented within thirty working days, will be final.

- E. A graduate/professional student with a pending grievance regarding academic issues, if employed in a graduate student appointment, will retain privileges and salary, subject to a review of the individual situation by the department or college.

\*In cases where the college does not have departments, the college level grievance policy and procedure replaces that of the department or program.

### **Guidelines for Graduate/Professional/PB Grievance Hearings**

- A. The GPSGC may set time limits for each party to present its case.
- B. The GPSGC may request a representative from the university's General Counsel's office to attend as an observer.
- C. Notification of the hearing schedule to all parties must be done in writing. Either hand delivery or certified mail with return receipt requested will be used. The hearing schedule may be revised by the chairperson in his/her discretion, upon motion of a party or on the committee's own motion.
- D. Any information provided to the GPSGC by a party will be provided by that party to all other parties prior to or simultaneously with providing it to the GPSGC.

*See pages 160-171 for infractions covered by the Academic Honesty Policy.*

For the most current Grievance Policy and Procedures for Graduate, Professional, and Post-baccalaureate Students, see the [University of Houston Graduate Catalog](#) at <http://catalog.uh.edu/content.php?catoid=9&navoid=1637&hl=%22grievance%22&returnto=search>, email the Graduate School at [gradschool@uh.edu](mailto:gradschool@uh.edu), or visit the website at <http://www.uh.edu/graduate-school/>.

## Faculty Dismissal

(UHS Board of Regents [Policy 21.07](#))

*Dismissal* is the termination of employment of a tenured faculty member or of a probationary or non-tenured faculty member before the annual term of appointment has expired.

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

Dismissal of a faculty member requires Board action.

Note: Recommendations for faculty dismissal must first be reviewed by the Office of the Provost, which in turn, will submit to the Chancellor/President.

### Assurances

University policies and procedures for faculty dismissals must ensure that:

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

### Justifications

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

- A. **Adequate Cause.** Termination for adequate cause may include:
  1. grounds related to dishonesty, or to demonstrated professional incompetence in teaching or research;
  2. grounds related to substantial and manifest neglect of professional or academic responsibilities; or
  3. grounds related to actions that would result in a general condemnation of the faculty member by the U.S. academic community.
- B. **Financial Exigency.** Termination of employment may be justified by a demonstrated and *bona fide* imminent financial crisis that threatens the continuation of the academic programs in their present form, and that cannot be alleviated by other means. The university will develop criteria and procedures to determine whether a state of financial exigency exists. Standards so developed will include provisions for faculty involvement in the determination and for a minimum twelve-month notice of termination of appointment to tenured faculty. Untenured faculty will be given notice consistent with the university's non-reappointment guidelines.

*(See pages 91-93 for the University's Financial Exigency Procedure.)*

- 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. (*See pages 93-95.*) Untenured faculty will be given notice consistent with university non-reappointment guidelines. (*See page 44.*)

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

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

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

### **Dismissal for Cause**

Adequate cause may include those grounds indicated above, *page 86*. Dismissal shall not be used to restrain faculty members in their exercise of academic freedom or other legal rights.

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

If the Chancellor/President or his/her designee determines to undertake dismissal proceedings, the proceedings shall be governed by the provisions for Dismissal Hearing Procedures *below*.

## 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. 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 (*see Justifications, pages 86-87*) 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 paragraph H (*page 92*) or paragraph G (*page 94*). Before terminating an appointment because of the discontinuance of a program or academic department, the University of Houston shall make every effort to place affected faculty members in other suitable positions.

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



## Financial Exigency Policy

This policy applies only to tenured and tenure track faculty.

- A. **Definition of Financial Exigency.** For the purposes of this policy, a financial exigency is an actual or impending financial crisis that threatens the survival of the university in its current structure and which cannot be alleviated by less drastic measures than terminating tenured and tenure track faculty. Words like "crisis" and "survival" are used to make it clear that an exigency must involve extremely serious financial problems, and not merely minor or temporary budget difficulties. Further, the financial problems must threaten the existence of the entire university, and not just a part thereof. The definition of financial exigency also embodies its primary consequence, the authority to dismiss tenured and tenure track faculty. This is a drastic step that should be taken only after all reasonable alternatives have been exhausted. The declaration of an exigency requires that the dismissal of tenured and tenure track faculty is likely, even if such dismissals are not imminent.
- B. **Consultation Prior to Declaration of Exigency.** When the Chancellor/President believes a *bona fide* financial exigency exists, s/he shall promptly inform and seek the advice of the Council of Deans and the Faculty Senate. The request for advice shall be accompanied by written supporting documentation, including detailed financial data. The Faculty Senate shall promptly inform and seek the advice of the appropriate groups, including the Undergraduate 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 and tenure track faculty or canceling academic programs, the Chancellor/President shall give careful consideration to all reasonable alternatives including but not limited to the following:
1. An early retirement program.
  2. Voluntary leaves of absence or part-time employment.
  3. Transfer of faculty to other positions with the University of Houston for which they are qualified.
  4. Reduction or postponement of non-academic expenses.
  5. Sale of assets and other means to increase revenue.
- G. **Order of Termination.** Except in extraordinary circumstances where a serious distortion of an academic program would otherwise result, non-tenure track faculty within a program shall be terminated before any tenure track faculty are terminated, and any untenured faculty within a program shall be terminated before any tenured faculty are terminated. Where consistent with the academic needs of the university, preference shall be given to tenured faculty of higher rank, and to more senior faculty within the same rank.
- H. **Termination Notice and Procedure.** Termination of tenured faculty and tenure track faculty with at least eighteen months probationary service requires notice of at least twelve months. Tenure track faculty in the first year of probationary service will be given notice of termination at least three months before the end of the academic year. Tenure track faculty in the second year of probationary service must be given notice of termination at least six months before the end of the academic year. Recommendations for the dismissal of tenured and tenure track faculty are 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 and tenure track faculty dismissed due to financial exigency.

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

- A. **Process for Discontinuance.** The recommendation to discontinue a program, department, or college shall be made by the Chancellor/President on the basis of educational considerations and only after consultation and review as set forth herein.
- B. **Consultation Prior to Discontinuance.** When the Chancellor/President believes that a discontinuance which may involve the termination of tenured or tenure track faculty is necessary, he or she shall inform and seek the advice of the Council of Deans and the Faculty Senate. The request for advice shall be accompanied by written supporting documentation. The Faculty Senate shall promptly inform and seek the advice of the appropriate groups including the Undergraduate 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 within a program shall be terminated before any tenure track faculty are terminated, and untenured faculty within a program shall be terminated before any tenured faculty are terminated. Where consistent with the academic needs of the university, preference shall be given to tenured faculty of higher rank, and to more senior faculty within the same rank. Care must be taken to consider the employment of groups entitled to affirmative action.
- G. **Termination Notice and Procedure.** Termination of tenured faculty and tenure track faculty with at least eighteen months probationary service requires notice of at least twelve months. Tenure track faculty in the first year of probationary service must be given notice of termination at least three months before the end of the academic year. Tenure track faculty in the second year of probationary service must be given notice of termination at least six months before the end of the academic year. Recommendations for the dismissal of tenured and tenure track faculty are 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 and tenure track faculty dismissed due to discontinuance:

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

## Alterations in Conditions of Employment

### Voluntary Modification of Employment (VMOE)

- A. **Eligibility:** Full-time faculty who have reached age 55 and have been enrolled in the Texas Teacher Retirement System (TRS) or in an approved Optional Retirement Program (ORP) for at least 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.

### **Leaves without Pay**

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

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

During a period of leave without pay, seniority is not considered to be interrupted, but benefits associated with pay status are affected. All group insurance programs except long-term

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

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

### **Other Temporary Leaves**

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

### **Emergency Leave**

The university provides emergency leave with pay in the event of a death within the immediate family (bereavement). Immediate family is defined as spouse, children, parents, brothers, sisters, grandparents, or grandchildren, including in-laws. Emergency leave cannot be accumulated. Length of emergency leave shall be determined at the discretion of the Chancellor/President or his/her designee. Other reasons besides death of a family member may also be available, at the discretion of the Chancellor/President, according to state law. See [SAM 02.D.04](#) for more information.

### **Jury and Witness Service**

No employee shall sustain a loss of regular compensation when called upon for jury duty or to testify at the order of a court or other agency of government or upon the request of the university. Specific regulations about the compensation for such service and out of town travel expenses may be obtained from the Human Resources Department. See [SAM 02.D.04](#) for more information.



## **Military Duty**

University employees are granted leaves for military duty of three types: National Guard Duty—leave granted with pay if called by the Governor because of an emergency; United States Armed Forces—leave granted without benefits except state service credit when reserves are called to active duty; Military Reserve Training—leave granted with pay up to 15 days per calendar year. See [SAM 02.D.04](#) for more information.

## **Volunteer Fireman Training**

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

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

## **Seeing-Eye Dog Training**

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

*For additional information: Human Resources Customer Service Center, 713-743-3988, or visit the website at <http://www.uh.edu/human-resources/benefits/leave-information/>.*

## **Other Leaves**

### **Leaves of Absence**

(For more information, see UHS Board of Regents [Policy 57.06](#))

The Board delegates to the Chancellor/President or his/her designee the authority to grant extended leaves of absence to employees of the System. Leaves may be granted for such purposes as research and writing, education, other personal development, or extended illness, according to System guidelines. Leaves are awarded for specific periods up to twelve months. Consideration may be given for renewal.

Leaves of absence for personal reasons may result in an extension of the probationary period. See *page 66* for the policies on Extension of Probationary Period. Also see *pages 63-64* under Probationary Period.

### **Faculty Development Leave**

As a research university, the University of Houston depends upon the knowledge and skill of its faculty. To enhance these skills, each college has provisions for faculty development leaves. Such leaves should be arranged in accordance with college leave policies and the Board of Regents [Policy 57.06](#), Leaves of Absence, and Texas Education Code sections 51.101-108.

Faculty development leaves, granted for either one academic year at one-half salary or for one long semester at regular salary, provide an opportunity for full-time faculty to improve their professional effectiveness through research, writing, study, field observation, or other suitable professional activities.

Faculty Development leaves with pay are awarded by the faculty member's college and approved by the Provost. Faculty Development leaves with pay are designed for tenured faculty who have held full-time, tenure track positions at the University of Houston for at least seven years.



Candidates must present justification for the time needed to conduct research or carry out professional development for an extended period.

To apply for a Faculty Development leave with pay, candidates submit their requests to the deans of their colleges, following college policies. The dean then forwards the request to the Provost for approval.

### **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.

### **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.

### **Sick Leave Policy**

(System Administrative Memorandum 02.D.01)

Full-time faculty of the University of Houston System shall, without deduction in salary, be entitled to sick leave subject to the following conditions:

- A. A faculty member will begin earning entitlement for paid sick leave on the first day of employment, and credit for one month's accrual will be given and posted for each month or each fraction of a month to that faculty member's leave record on the first day of employment and the first day of each succeeding month of employment thereafter.
- B. The faculty member will accrue sick leave at the rate of eight hours per month of full-time employment. Faculty who are employed at least 50% FTE but less than 100% FTE shall accrue sick leave at a percentage equal to their percentage time employed. Sick leave shall accumulate with the unused amount of such leave carried forward each month. Sick leave accrual shall terminate on the last day of duty.
- C. Sick leave with pay may be taken when sickness, injury, or pregnancy and confinement prevents the faculty member's performance of duty, or when the faculty member is needed to care for and assist a member of his/her immediate family who is ill. *Immediate family* is defined as those individuals related by kinship, adoption, or marriage or foster children who are certified by the Department of Protective and Regulatory Services and who are living in the same household as the faculty member. If the family member does not reside in the faculty member's household, use of sick leave is limited to the time necessary to provide care and

assistance to a spouse, a child or parent of the faculty member who needs such care as a direct result of a documented medical condition. For the purpose of this policy, parent does not cover parents-in-law of the employee.

- D. An employee who must be absent from duty because of illness shall notify the appropriate supervisor or cause the supervisor to be notified of that fact at the earliest practical time.
- E. An employee who uses sick leave is required to document his/her absence from work in accordance with procedures established for such documentation by each component.
- F. To be eligible for accumulated sick leave with pay during a continuous period of more than three working days, a faculty member absent due to illness shall send to the administrative head of the responsible unit a health professional's certificate showing the cause or nature of the illness, or some other written statement of facts concerning the illness that is acceptable to the administrative head. It is within the discretion of the administrative head to require documentation concerning illnesses resulting in absences of three working days or less. Each component head may delegate this authority to the employee's supervisor.
- G. Upon return to duty after sick leave, the faculty member concerned shall, without delay, complete the prescribed application for sick leave and submit it through proper channels to the appropriate approving authority for consideration. Faculty members must submit prescribed leave forms for all sick leave if the absence occurred during the normal workday for regular employees, even if no classes were missed.
- H. The beneficiary or estate of a deceased faculty member is entitled to payment of one half of the unused sick leave or 336 hours, whichever is less, provided that the faculty member had continuous state employment for at least six months at the time of death.
- I. Exceptions to the amount of sick leave a faculty member may take may be authorized by the Chancellor/President on an individual basis after a review of the merits of a particular case. A statement of any such authorized exceptions and the reasons for them shall be attached to the university's timesheet for the payroll period affected by such authorized exceptions. See section below on Extended Illnesses for details.
- J. Faculty members on twelve month appointments shall be covered by the annual leave policies found in the *Staff Handbook*.

Faculty accumulate eight hours of sick leave per month of teaching. When faculty members or members of their immediate family become ill, faculty must notify the department chair or college associate dean immediately to make plans to provide substitute instructors or activities for all missed classes. All faculty are required to record their sick leave in P.A.S.S. and note the hours spent away from campus because of personal or family illness. During the academic session, the days spent away from campus accumulate at eight hours per day, whether a class was held or not.

### **Interagency Transfer of Sick Leave**

A person employed by the university who previously has been employed by another agency of the State of Texas, whose employment with the state is uninterrupted, and who is eligible for sick leave with the University of Houston may transfer to the university accumulated sick leave credits. Employees separated from employment with the State under a formal reduction in force policy shall have their sick leave balance restored if reemployed by the State within twelve months of their termination. In addition, employees who are separated for other reasons may also apply to have their sick leave balance restored if they are reemployed by the State within twelve months of their

termination, provided that these employees have had a break in service of at least one month since their date of termination.

Any person transferring sick leave credits to the university from another state agency under the terms of these provisions may use these credits at any time after employment subject to the usual supervisory notification and requirements for use of sick leave.

It is the responsibility of the new faculty member to secure documentary proof of transfer credits from former employers. Such documentary proof shall be presented to the Human Resources within six months of employment.

### **Sick Leave Pool**

(Board of Regents [Policy 57.09](#))

The Board of Regents delegates to the Chancellor/President the authority and responsibility to adopt and implement a program within the System to allow employees voluntarily to transfer sick leave time earned by the employee to a sick leave pool, administered by the Chancellor/President or his/her designee, for the benefit of eligible employees suffering from catastrophic illnesses or injuries. The Chancellor/President shall not be eligible to participate in the sick leave pool.

The sick leave pool allows salary continuation to an employee who has exhausted all paid leave time because the employee or a member of the employee's immediate family experienced a catastrophic illness or injury. A physician's statement must accompany each request. There is a 90-day lifetime maximum that may be used in increments of up to 30 days at a time. A new physician's statement must be submitted with each request. Please note that persons who elect to use their short-term disability insurance are not eligible for sick leave pool.

Employees may voluntarily transfer any number of sick leave hours from their personal accumulation to the sick leave pool each fiscal year.

*For additional information: Employee Benefits, Human Resources Customer Service Center, 713-743-3988 or visit the website at <http://www.uh.edu/human-resources/benefits/leave-information/>.*

### **Extended Illnesses**

When faculty members' or their immediate family members' illnesses require extended time away from campus, faculty members should make long term arrangements for their students. Students must be notified beforehand, whenever possible, to make other arrangements for their appointments, classes, and research. Department chairs or the associate deans will facilitate these arrangements in addition to informing the faculty member of the pertinent rules regarding extended illnesses.

Most of the regulations concerning extended illness are set by state law and must be observed without deviation. For example, during the academic session, the days spent away from campus (eight hours per day, whether a class was held or not) must then be recorded as sick leave taken in P.A.S.S.

In cases of extended illness, faculty members use their paid sick leaves at a rate of eight hours per working day, whether they have classes or not. At the end of the sick leave, faculty may be eligible for additional days from the campus sick leave pool and should petition the Benefits Office. Pool availability will determine acceptance or denial of the petition.

When all paid leave is exhausted, ill or disabled faculty may request a Leave without Pay for an additional 12 months, the maximum allowed by the State of Texas. At any time during these leaves, faculty who regain their health will have the option to return to their teaching and research duties.

At the end of the 12-month Leave without Pay, faculty members must, either return to their prior positions and fulfill all professorial duties or resign, according to State law. In the event that they are no longer able to assume their prior full-time roles, faculty members need to discuss their future plans with the Benefits Office and department chairs or associate deans.

Several options are open to faculty members whose disability extends beyond the time of their sick leave and Leave without Pay. The choice depends on the nature of the disability, the length of service, insurance benefits, and other individual differences. For example, should the disability allow, faculty members may work part-time as needed by the department or college. In this case they only will be eligible for those benefits given to any part-time faculty member. Faculty with at least 10 years of service to the University of Houston may take a Disability Retirement. This allows them to receive paid retirement benefits (health and life insurance but no Long Term Disability or retirement deductions). Faculty on Disability Retirement are eligible for all other retirement benefits, including consideration for Emeritus status. These faculty members should speak with their chairs or associate deans, as the Disability Retirement is similar to any voluntary modification of employment, which is described below.

Faculty members with Long Term Disability (LTD) Insurance may receive compensation under the conditions of their insurance contract. These payments terminate at age 65. Faculty may still be responsible for payment of all or part of their health and life insurance premiums.

*Please see the University of Houston System Sick Leave Policy on pages 100-101.*

## **Family and Medical Leave**

The Family and Medical Leave Act of 1993, as amended (FMLA) allows "eligible employees" to take job-protected leave for up to a total of twelve work weeks in a "year" because of the birth of a child and to care for the newborn child, because of the placement of a child with the employee for adoption or foster care, because the employee is needed to care for a family member (child, spouse, or parent) with a "serious health condition", because the employee's own "serious health condition" makes the employee unable to perform the functions of his/her job, or because of any qualifying exigency arising out of the fact that the employee's spouse, child, or parent is a member of the National Guard or Reserves on active duty (or has been notified of an impending call or order to active duty) in support of a contingency operation. "Eligible employees" may take job-protected leave for up to a total of 26 work weeks in a single "year" to care for a covered service member with a serious injury or illness if the employee is the spouse, son, daughter, or next of kin of the service member. An "eligible employee" is entitled to a combined total of 26 work weeks of leave for any qualifying reason during a "year" provided that the employee is entitled to no more than 12 work weeks of leave that is taken for one or more of the reasons in the first sentence of this paragraph. In certain cases, FMLA leave may be taken on an intermittent basis rather than all at once, or the employee may work a part-time schedule.

See [MAPP 02.02.01](http://www.uh.edu/af/universityservices/policies/mapp/02/020201.pdf) at <http://www.uh.edu/af/universityservices/policies/mapp/02/020201.pdf> for more information.

## Parental Leave

Employees who are not qualified for Family and Medical Leave are entitled to take up to twelve weeks of Parental Leave per year for the birth of a child or the adoption or foster care placement of a child under three years of age. An eligible employee must use all applicable accrued paid leave including sick leave while taking parental leave. The use of accrued sick leave is, however, restricted to those circumstances that would otherwise qualify the employee for sick leave usage under state law and university rules and regulations governing the use of sick leave ([SAM 02.D.01](#)). The university is required to maintain any preexisting health coverage during the leave period and must reinstate the employee to the same or an equivalent position when the leave period is over.

See [MAPP 02.02.02](#) at <http://www.uh.edu/af/universityservices/policies/mapp/02/020202.pdf> for more information or contact Employee Benefits, Human Resources Customer Service Center, 713-743-3988, or visit the website at <http://www.uh.edu/human-resources/benefits/leave-information/>.

## Teaching Relief Program

**Eligibility:** Full-time tenured or tenure-track faculty who are primary caregivers of a newborn infant or newly adopted child.

**Terms:** One semester of teaching relief may be provided, in which other duties are to be assigned instead of teaching duties. Teaching Relief should not be used for circumstances where use of sick leave is appropriate. The application must be approved by department chair, dean and Provost or designee, based on the criteria set out below. Under the terms of this program, the teaching load of the faculty member in the semester before and after the leave will not be affected by the terms of the leave.

### **Procedure:**

**Application** – Faculty member must submit an application at earliest possible date, preferably 6 months in advance of the semester in which teaching relief is requested. Application must include:

1. A request establishing the eligibility for the teaching relief;
2. A sufficiently detailed description of the work to be done in place of the applicant's normal teaching responsibilities;
3. A defined work product to be advanced;
4. An adequate method for evaluation of the work by the department chair or dean during the semester; and
5. The faculty member teaching load in the semester before and after the leave must be specified.

In the case that both parents are employed by UH, each may take the teaching relief, either in consecutive semesters or simultaneously, as best fits their needs and those of their department(s).

**Approval** – Approval is contingent on the following findings:

1. The proposal must be found to be in the best interest of the department's or program's instructional program.
2. The instructional responsibilities of the department or program can be met without the allocation of additional resources.
3. The department or program will continue to be in compliance with applicable statutes and policies, including:

- a. Texas Government Code [§ 658.002](#) – Working Hours Required for Salaried Employees
- b. Texas Government Code [§ 658.007](#) – Working Hours for Employees of Institutions of Higher Education
- c. Texas Education Code [§ 51.402](#) – Report of Institutional and Academic Duties
- d. Texas Higher Education Coordinating Board [Faculty Workload Guidelines](#)
- e. Board of Regents [Policy § 21.05](#) – Faculty Workload
- f. UH Academic Workload Policy, established in the UH Faculty Handbook

### **Approval by AVP/Provost**

The chair or dean should submit the application to the AVP/Provost, along with his or her written review regarding eligibility and approval. Upon final review, the AVP/Provost will issue a written decision to the applicant and appropriate dean and/or department chair. The decision of the AVP/Provost is final.



# Professional Responsibilities and Ethics

## Academic Workload

**Note:** Interim Policy pending Board of Regents approval

### University of Houston Policy, Rules and Regulations

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 [clinical, instructor, research faculty]) 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. To reflect the diversity and proportion of time spent on the various faculty activities and to assist in the accountability of individual faculty workloads, activities are quantified by work units. Thirty (30) work units per academic year is the expected minimum full-time academic workload for each full-time faculty member. Typically these 30 work units are distributed across the fall and spring semester but could include the summer semester(s) dependent on the needs of individual academic units. 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 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, and service as follows: 40% teaching, 40% research/scholarship, and 20% 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) as follows: 80% primary domain, 20% distributed across service/research.

Faculty workload expectations are also linked to the degree of differential effort expended by the faculty member across the three major domains. Examples of target workloads for each of the different types of faculty appointments are listed below. There is no expectation that the entire workload occur only on campus, during business hours or during the work-week.



## Workload Matrix Examples for Different Types of Full-Time Faculty Appointments

Target Work Load for a full-time faculty member is 30 work units (i.e. 100% effort) typically distributed across 2 long semesters.

Type of faculty Appointment	Teaching Units	Research/Scholarship Units	Service Units	Comments
Tenured Faculty	12	12	6	Example of senior faculty without significant external research support
Tenured Faculty	6	18	6	Example of senior faculty with significant external research support
Tenured Faculty	6	12	12	Example of senior faculty with significant national, professional or university service
Tenured Faculty	21	3	6	Example of senior faculty no longer significantly engaged in research/scholarship
Tenure track Faculty	6	18	6	Example of a newly hired assistant professor
Non-tenure track Clinical	24	0	6	Depending on the discipline and college/department bylaws, some research/scholarship may be expected
Non-tenure track Instructional	24	0	6	Depending on the discipline and college/department bylaws, some research/scholarship may be expected
Non-tenure track Research Faculty	0	30	0	Typically supported by external funding (“soft money”). Depending on the discipline and college/department research faculty may also engage in teaching and service as part of their workload

### Teaching

The dissemination of knowledge is one of the core missions of the University of Houston and constitutes a major portion of the faculty’s responsibilities and workload.

While the university does not insist that each faculty member have the same teaching load, the faculty average within each academic unit is 12 units of teaching distributed across two (2) long semesters. This effort distribution, when expressed in term of total work units per semester (e.g. 15 work units/long semester), will normally result in tenured or tenure-track faculty members devoting six (6) work units/semester (i.e. 40% effort) to teaching activities (e.g. classroom, laboratory, clinic, graduate student supervision, etc.). For non-tenure track faculty engaged in the instructional or clinical domains, this will normally result in the faculty member devoting 12 work units/long semester (i.e. 80% effort) to teaching activities.

The various teaching activities that faculty members can perform as part of their overall teaching load are described in more detail in the teaching equivalency table (Section A: Teaching, *see pages 111-113*).

The university administration will provide chairs of individual academic units the flexibility to achieve maximum effectiveness in teaching efforts as related to student enrollment, and to adjust each individual's instructional assignment. New faculty should be informed at the time of hire of the discipline-specific teaching workload requirements associated with the department or college.

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

Work unit guidelines for various teaching activities (e.g., courses, laboratories, clinic instruction, student mentoring, etc.) are provided in Section A (below).

### **Research/Scholarship**

The creation and dissemination of new knowledge and scholarly work products is another core mission of the University of Houston. Due to the diversity of research/scholarship within in the specialties, disciplines, departments and colleges across the university, it is not possible to assign specific work units that appropriately reflect the varying amounts of effort required for the activities listed in Section B (below) at the university level. In addition, some departments heavily engaged in graduate education, use laboratory research as an important and fundamental part of training graduate students. In these cases, it may be appropriate to classify some of these units as teaching activities. Therefore, each department chair or designated academic officer in consultation with their faculty are responsible for determining the fair and equitable work units that are reflective of the individuals effort and productivity in this area. These work units must be made available to the faculty in the department, and may include items not listed in Section B (below) that are unique or critical to the college, academic unit, or discipline's mission. These work units must be consistent with the activities expected of a research intensive university and the expectations of tenure track faculty working towards tenure.

Faculty with external support may use that support to count toward the minimal general workload requirement by supporting a portion of their salary from external sources. Any use of external funds in this manner (i.e. course buy-out) must be consistent with the policies of the granting agency and subject to the academic unit's needs and approval.

Individuals granted a competitive faculty development leave are expected to meet the 30 unit academic workload, but the distribution of units within the three categories (teaching, research/scholarship and service) will vary depending on the focus of the development leave.

### **Service and Professional Development**

Faculty members engage in a variety of service activities that support the teaching and research/scholarship mission of the university and that enhance the educational, economic and cultural vitality of the city of Houston, the state of Texas and the nation. As with research/scholarship, the time and effort required for the various service activities listed in Section C (below) vary across the diversity of specialties, disciplines, departments, colleges and professional organizations within the university. Therefore each department chair or designated academic officer

in consultation with their faculty are responsible for determining the fair and equitable work unit equivalents that are reflective of the individuals effort and productivity in this area. These equivalents must be made available to the faculty in the department. These work unit equivalents must be consistent with activities that support the teaching and research/scholarship mission of the university and that enhance the educational, economic and cultural vitality of the city of Houston, the state of Texas and the nation.

### **Accountability and Reporting of Faculty Academic Workload**

The regulation and apportion of the academic workload requirement is the responsibility of the appropriate department chair and college dean. The department chair or other designated college administrator will consult with each full time faculty member annually to review their academic workload. An individual's fulfillment of the minimum 30 work unit requirement typically distributed across two (2) semesters will be considered when evaluating merit, promotion and tenure decisions, as well as in the post-tenure review process.

Each department chair and college dean must certify that the duties of each faculty member meet the minimum workload responsibility as outlined in the academic workload policy in the University of Houston Faculty Handbook. The chief academic officer shall designate the officer of the institution who will monitor faculty academic workload and submit the reports to the chief academic officer for approval and comment, as appropriate, prior to submitting the reports to the University of Houston Board of Regents following the standard reporting format and deadlines as provided by the Texas Higher Education Coordinating Board in accordance with [Section 51.402](#) of the Texas Education Code.

In accordance with Texas Education [Code 51.402](#), the University of Houston will file a report with the board of regents, by department, that details the academic duties and services performed by each member of the faculty during the nine-month academic year, showing compliance with the approved academic workload policy as outlined in the faculty handbook. Details of these reporting requirements are contained in Texas Education [Code 51.402](#) and the Texas Higher Education Coordinating Board Faculty Workload Policy Guidelines for Texas Public Universities (endorsed July 14, 1978, and updated fall 1992, 1999 and reviewed in 2006).

This academic workload policy was approved by the Chancellor or designee on October 16, 2015 and is pending the approval of the University of Houston Board of Regents. The new Workload Policy will be phased in with full compliance by Fall 2016.

The academic workload rules and regulations shall be reported to the Texas Higher Education Coordinating Board and included in the operating budgets and faculty handbook of each component university. Changes in the academic workload policy must be approved by the Chancellor or his or her designee and University of Houston System Board of Regents.

### **Workload Graphic**

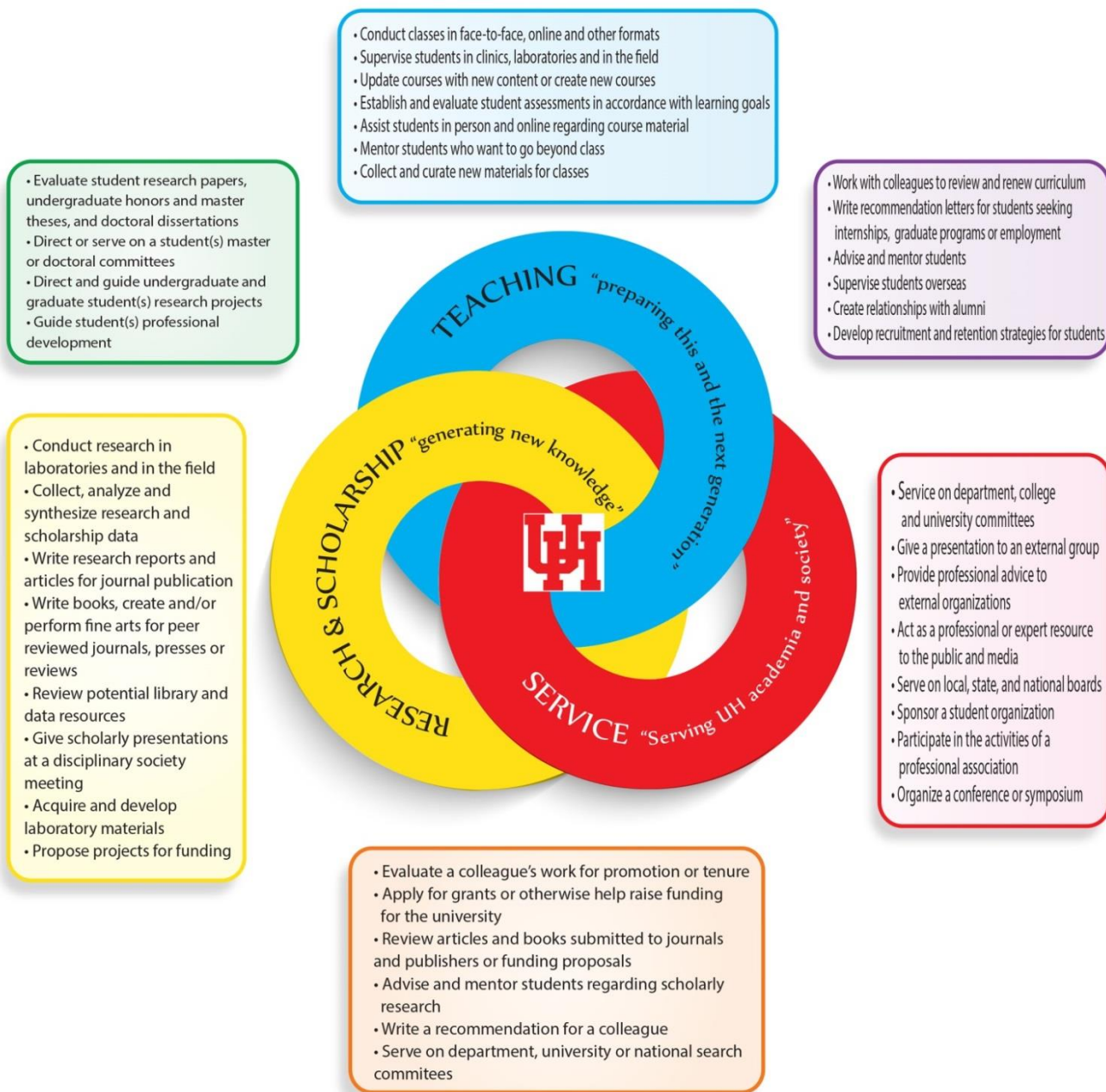
The Workload Executive Summary Graphic (see below) highlights the great diversity that exists among faculty contributions.

## University of Houston Faculty Workload

is distributed across three major domains

### TEACHING, RESEARCH/SCHOLARSHIP and SERVICE.

While certain activities clearly fall within one of the three major domains, there are a significant number of faculty contributions which combine responsibilities from more than one domain. This graphic is designed to highlight the great diversity that exists across faculty activities and to provide some examples of these faculty contributions.



The Workload Executive Summary graphic is not designed to be an exhaustive list of all the various contributions made by faculty as a whole, but rather it is designed to exemplify how the diverse duties and responsibilities that a faculty member may perform are interlinked across the three major domains commonly associated with faculty work-load (i.e. research/scholarship, teaching and service).

The sections below add details to many of the examples listed in the graphic. Section A describes the variety of teaching activities and the work units associated with these activities. These general guidelines may be modified by the department chair with the consensus of the faculty within department/units to reflect greater or lesser efforts required by unique circumstances within the department/units. Department/unit specific guidelines for teaching work units equivalents must be uniformly applied within the department/unit and available to the faculty for reference. Section B lists the variety of research/scholarship activities that faculty engage in, while Section C details the numerous service activities in which faculty participate.

Due to the diversity of research/scholarship and service activities that occur across the various, specialties, disciplines, departments and colleges work units associated with these activities must be determined at the unit level by faculty consensus within that unit. Once adopted, work unit equivalents must be uniformly applied within the department/unit and available to the faculty for reference.

### **Section A: Teaching**

The traditional classroom experience is just one form of the many activities that involve teaching and student learning. The various types of instruction include: lecture, laboratory, practicum, seminar, independent study, supervision of theses and dissertations, clinical supervision of students, private lessons, self-paced instruction, televised instruction, on-line instruction and alternative learning activities. Teaching also includes: interactions with students related to instruction, preparation for such instruction, evaluation of student performance, direction of special projects, academic advising and counseling (face-to-face or electronically), curriculum development, and administrative assignments that directly support teaching (e.g. department chairs, graduate directors, undergraduate directors, and coordinators of special programs or multi-section courses)

#### **Teaching Equivalencies**

<b>Teaching-Related Activity</b>	<b>Teaching Equivalent</b>
Organized undergraduate instruction	1 contact hour/week = 1 unit (see class size multipliers)
Organized graduate instruction	1 contact hour/week = 1.5 units
Individual instruction	doctoral student registered for 1 contact hour/week = 0.5 units; master's student registered for 1 contact hour/week = 0.3 units; undergraduate student registered for 1 contact hour/week = 0.2 units
Supervision of theses and dissertations	1 credit hour of registered dissertation credit = 0.5 units 1 credit hour of registered thesis credit = 0.3 units (thesis and dissertation teaching units may be divided among the dissertation chair and committee members)



<b>Teaching-Related Activity</b>	<b>Teaching Equivalent</b>
Undergraduate research mentorship of students engaged in independent research/scholarship, honors research/scholarship, non-credit research/scholarship; with a faculty member, paid research assistant ships or research internships. Excludes paid or unpaid students workers and work study students.	24 contact hours per week = 9 units
New course not previously taught, with no prior course development time	one, 3 credit hour course = 1.5 units
Major course revision (beyond normal, expected updating), update of a course that the instructor has not taught in the past four years or creation of an online course	one 3 credit hour course – 1.5 units
Coordination of several sections of a single course (requires approval of dean)	6 sections coordinated = 1 unit (typically capped at 3 units)
Laboratory Courses	3 contact hours/week = 2 units
Departmental administrative assignments (e.g. department chair, academic associate dean, graduate director).	One assignment = up to 6 units
Laboratory Courses	3 contact hours/week = 2 units

Teaching activities listed above represent activities common to most colleges/departments/units across the university. Many college/department/units have additional and/or unique teaching situations not represented above that will require the department/unit to develop teaching work unit equivalents specific to the unit. Teaching unit adjustments are permitted for the teaching units listed below, (e.g. in cases of multiple teaching assistants to assist with grading) but such adjustments must have the appropriate approvals at the college level and must be publicized to the faculty, preferably by placing the adjustments in the appropriate college or departmental guidelines.

Teaching online courses often requires more student interaction throughout the course and/or a course development timeline that might differ substantially from traditionally delivered courses. Colleges or departments may adjust teaching loads to reflect the nature of online courses.

Teaching equivalencies may also include professional faculty development activities that directly support the institution's teaching mission by enabling faculty members to enhance their teaching and research/scholarship knowledge and/or capabilities ensuring that the students have access to current, high quality learning opportunities. When undergraduate classes have fewer than 10 students and graduate classes have fewer than 5 students, units for small classes will be decreased in the following fashion.

### Large Class Multiplier

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

### Small Class Deflater

<b>Undergraduate</b>	<b>Class size</b>	<b>10</b>	<b>9</b>	<b>8</b>	<b>7</b>	<b>6</b>	<b>5</b>
	<b>Deflater</b>	<b>1.0</b>	<b>0.9</b>	<b>0.8</b>	<b>0.7</b>	<b>0.6</b>	<b>0.5</b>
<b>Graduate</b>	<b>Class size</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	
	<b>Deflater</b>	<b>1.0</b>	<b>0.8</b>	<b>0.7</b>	<b>0.6</b>	<b>0.1</b>	

### **Teaching Work Unit Compliance**

If a class is canceled due to low enrollments, substitute teaching units should be assigned to the faculty member by the department chair. However, for extenuating circumstances, the department chair can petition the Dean for a waiver of the forfeited teaching units for one semester. This adjustment must be reported by the department, approved by the college dean, and reported to the administration.

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

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

### **Section B: Research/Scholarship Activities**

This section provides examples of the activities that a faculty member may engage in as part of their research and scholarship.



<b>Grants</b>	<b>Research/Scholarship Products and Dissemination</b>	<b>Support of Research/Scholarship</b>
New external grants awarded	Publications – refereed and non-refereed	Books, articles, chapters, compositions, recordings, performances reviewed
New contracts awarded	Manuscripts submitted – refereed and non-refereed	Grants reviewed for external agencies
Internal grants submitted	Formal presentations made by faculty, at state, regional, national, international professional meetings	Grants reviewed for internal agencies
Fellowship proposals submitted	Music Performances (including performances of compositions at the local, state, national or international level)	Editorial board positions
New scholarly fellowships formally awarded	Completed published books musical compositions, plays	Research/scholarship development activities – participating in grant writing workshop, new training tools
New internal grants awarded	Juried and non-juried shows, commissioned performances, creative readings and competitive exhibitions	Supervision of post docs, research scientists
Continuing external grants awarded	Progress on book, monograph or other creative work (play, composition, artwork, choreography etc.)	
External grants submitted	Digital programs or applications designed	
Contracts submitted	Provisional, non-provisional and issued patents or software licenses	
Internal grants submitted	Student’s first authored journal article or book chapter under the supervision of the faculty mentor – in print, in hardcopy or on line	
Fellowship proposals submitted	Books, collections or monographs edited	
	Radio/TV Broadcasts	
	Music, Opera or Theatrical Direction or set design	
	Master-classes, clinics, adjudications	

The department chair and the dean of the college may request that the provost approve, by individual faculty member, up to 12 workload units per faculty member per semester for basic and applied research/scholarship which directly support the institution's teaching and research/scholarship function. This adjustment must be reported by the department, approved by the college dean, and reported to the administration.

### **Section C: Service and Professional Development**

The department chair and the dean of the college may request that the provost approve workload units for professional development activities which directly support the institution's teaching and research/scholarship function. This adjustment must be reported by the department, approved by the college dean, and reported as part of the faculty's academic workload.

<b>Institutional Service</b>	<b>Community Service</b>	<b>Professional Service</b>
College/Department Committees	Extension and outreach activities	Leadership in professional organizations (membership alone is not sufficient)
Student Advising Program coordination	Service to governmental agencies	High level visible service to professional organizations (regional or national committees, self-study visitation/accreditation)
University Committees	Mentoring	Mentoring
Mentoring		
Faculty Senate		

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

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

Required information includes;

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

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

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

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

## 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](#)
2. [Educational Records – FERPA](#)
3. [Customer Information – Gramm-Leach-Bliley \(GLB\) Act](#)
4. [HIPAA and Medical Privacy Guidelines](#)
5. [Security Incident Response Guidelines](#)

*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](#). See also Confidentiality of Student Records on pages 152-153.*

## **Measurement and Evaluation Center**

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

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

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

### **Course/Faculty Evaluation**

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

### **Exam Scoring**

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

### **Electronic Gradebook**

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

### **Focus Groups**

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

### **Institutional Tests**

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

## Program Evaluation

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

## Survey Research

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

## University Scanning Services

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

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

## AAUP Ethics and Traditions of Academia\*

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

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

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

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

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

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

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

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

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

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

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

## **Standards of Conduct**

(Texas Government Code, [Section 572.051](#))

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

## **Conflicts of Interest**

(UHS Board of Regents [Policy 57.08](#))

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

- A. No employee shall solicit, accept, or agree to accept any privilege, benefit, or thing of value for the exercise of his/her discretion, influence, or powers as an employee except as is allowed by law.
- B. No employee shall accept any privilege, benefit, or thing of value that might influence him/her in the discharge of his/her duties as an employee.
- C. No employee shall use his/her position to secure special privileges or exemptions for himself/herself or others, except as is allowed by law.
- D. No employee may be an officer, agent, employee, or members of, or own an interest in, a professional activity or organization that foreseeably might require or induce him/her to disclose confidential information acquired by reason of his/her System position.
- E. No employee shall accept employment or engage in any businesses or professional activities which foreseeably might require or induce him/her to disclose confidential information acquired by reason of his/her university position.
- F. No employee shall disclose confidential information gained by reason of his/her university position nor shall s/he otherwise use such information for his/her personal gain or benefit.

- G. No employee shall transact any business for the System with any entity of which s/he is an officer, agent, employee, or member, or in which s/he owns a significant interest.
- H. No employee shall make personal investments in any enterprise that foreseeably might create a substantial conflict between his/her private interests and the System's interests.
- I. No employee shall accept other employment that might impair his/her independence of judgment in the performance of his/her System duties.
- J. No employee shall receive any compensation for his/her services from a source other than the State of Texas except as is allowed by law.
- K. No employee who exercises discretion in connection with contracts, purchases, payments, claims, or other pecuniary transactions shall solicit, accept, or agree to accept any benefit from a person or entity the employee knows or should know is or is likely to become financially interested in such transactions.
- L. The University shall not accept a gift, grant, donation, or other consideration to be used as a salary supplement without the prior written approval of the recipient's immediate superior, the office the general counsel and the president, and written authorization of the internal auditor, who shall report the necessary information to the State Auditor.
- M. No Board member or employee shall have a direct or indirect financial or other interest, shall engage in a business transaction or professional activity, or shall incur any obligation, that is in substantial conflict with the proper discharge of the employee's duties for the institution.
- N. No Board member or employee shall act as an agent for another person in the negotiation of the terms of an agreement relating to the provision of money, services, or property to the institution.
- O. The resources of the University shall be used only in accordance with University policy and applicable law.

Other examples of conflicts of interest:

- A. Personal remuneration from a private or governmental agency for work accomplished with University of Houston equipment, personnel, or facilities when a grant or contract for such work has not been awarded to the university.
- B. Awarding contracts or subcontracts to a private organization in which the individual has a financial interest.

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

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/>).



## 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](#). A [simplified flowchart](#) is also available for your convenience. For more information, please contact the Office of Research Policies, Compliance, and Committees at 713-743-9740.

### Statement of Policy

The University of Houston (UH) expects all of its investigators and research teams to adhere to the highest standards of conduct when pursuing, conducting, and reporting research.

- A. Any form of misconduct is contrary to the principles upon which the University was founded and adversely affects the reputation of the University and its faculty.
- B. Research misconduct violates not only the trust of agencies, foundations, and other entities that sponsor research at the University, but also that of the public and subjects that might participate in the research.

### Research Misconduct Definition

As defined by the Department of Health and Human Services (DHHS) Office of Research Integrity (ORI) and the National Science Foundation (NSF), research misconduct means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results<sup>1</sup>.

- A. **Fabrication:** making up data or results and recording or reporting them.
- B. **Falsification:** manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- C. **Plagiarism:** the appropriation of another person's ideas, processes, results, or words without giving appropriate credit<sup>2</sup>

Research misconduct does not include honest error or differences of opinion.

### Applicability

This policy applies to all UH faculty staff, and students, as well as any person who, at the time of the alleged research misconduct was:

- A. Employed by,
- B. An agent of, or
- C. Affiliated by contract or agreement with the University of Houston<sup>3</sup>

The Research Integrity Officer and/or designee will determine the policies and guidelines applicable to the alleged research misconduct and will apply UH policy and the sponsoring agency requirements accordingly:

- A. Public Health Service (PHS) research – requirements contained in 42 CFR 93
- B. National Science Foundation (NSF) – described in Section 930 of the NSF Grant Policy Manual
- C. All other funding sources – the terms of the funding source guidelines as well as UH policy
- D. Unfunded research – UH policy

***This policy does not apply to authorship or collaboration disputes, which are to be addressed under current UH grievance policy and procedures:***

- A. Faculty: [Faculty Handbook](#)
- B. Staff: [MAPP 02.04.01](#)
- C. Students: [College-specific policies](#)

### **Roles and Responsibilities**

- A. **Deciding Official (DO):** the institutional official who makes final determinations on allegations of research misconduct and any institutional administrative actions. The Deciding Official shall have no direct prior involvement in the institution’s inquiry, investigation, or allegation assessment. The Deciding Official is the President of the University of Houston; the DO may delegate sanctioning authority to the Provost.
- B. **Research Integrity Officer (RIO):** the institutional official, designated by the President, who is responsible for:
  - 1. Assessing allegations of research misconduct to determine if they fall within the definition of research misconduct and warrant an inquiry on the basis that the allegation is sufficiently credible and specific so that potential evidence of research misconduct may be identified;
  - 2. Overseeing inquires and investigations, including the appointment of inquiry and investigation committees;
  - 3. Providing resources necessary to carry out inquiries and allegations; and
  - 4. Other responsibilities described in this policy

The RIO is the Vice President for Research and Technology Transfer.

- C. **Complainant:** a person who in good faith makes an allegation of research misconduct.
- D. **Respondent:** the person against whom an allegation of research misconduct is directed or who is the subject of a research misconduct proceeding.

### **Responsibility to Report Misconduct**

All UH personnel will report observed, suspected, or apparent research misconduct to the RIO. If an individual is unsure whether a suspected incident falls within the definition of

research misconduct, he or she may meet with or contact the RIO to discuss the suspected research misconduct informally, which might include discussing it anonymously and/or hypothetically.

If the circumstances described by the individual fail to meet the definition of research misconduct, the RIO will refer the individual or allegation to other offices or officials with responsibility for resolving the problem.

### **Cooperation with Research Misconduct Proceedings**

UH personnel:

- A. Will cooperate with the RIO, other institutional officials, and appointed committees in the review of allegations and the conduct of inquiries and investigations
- B. Have an obligation to provide evidence relevant to research misconduct allegations to the RIO or other institutional officials.

### **Confidentiality and Protection**

Processes are in place to:

- A. Maintain confidentiality of the research misconduct proceeding
- B. Protect complainants (“whistleblowers”), witnesses, and committee members
- C. Protect respondents and take steps to restore respondents’ reputations as applicable

### **Assessment, Inquiry, and Investigation**

Detailed processes are in place to conduct research misconduct proceedings, including:

#### **A. Assessment of allegation by the RIO**

Scope: to determine if the allegation:

1. Is sufficiently credible and specific so that potential evidence of research misconduct might be identified
2. Falls within the definition of research misconduct

If the RIO determines that criteria for an inquiry are met, he or she will initiate the inquiry process by appointing an inquiry committee.

#### **B. Conduct of an inquiry by an Inquiry Committee**

1. Scope: to conduct an initial review of the evidence, including the testimony of the respondent, complainant, and key witnesses to determine whether an investigation is warranted; it is not the goal of an inquiry to determine whether research misconduct definitely occurred or who was responsible.
2. An investigation is warranted if the committee, after an opportunity for comment by the respondent and in consultation with the RIO, determines:
  - a) There is a reasonable basis for concluding that the allegation falls within the definition of research misconduct, and

- b) The allegation may have substance, based on the committee's review during the inquiry.

### **C. Conduct of an investigation by an Investigation committee**

Scope: The purpose of the investigation is to:

1. Develop a factual record by exploring the allegations in detail
2. Examine the evidence in depth, leading to recommended findings on whether research misconduct has been committed:
  - a) By whom
  - b) To what extent
3. The investigation will also determine whether there are additional instances of possible research misconduct that would justify broadening the scope beyond the initial allegations.

See the [full policy](#) for details regarding timing, process, notification, interim action, opportunity for respondent comment, and reporting. A simplified [flowchart](#) is also available for your convenience.

### **Decision by Deciding Official**

The RIO will:

- A. Assist the investigation committee in finalizing the draft investigation report, including ensuring that the respondent's comments are included and considered.
- B. Transmit the final investigation report to the DO/DO's designee, with a copy to the Provost.

The DO will determine in writing:

- A. Whether the institution accepts the investigation report and its findings.
- B. The appropriate administrative actions<sup>4</sup> in response to the accepted findings of research misconduct.

When a final a final decision on the case has been reached:

- A. The RIO will normally notify both the respondent and the complainant in writing.
- B. After informing federal agencies/funding sources as applicable, the DO/DO's designee will determine whether law enforcement agencies, professional societies, professional licensing boards, editors of journals in which falsified reports may have been published, collaborators of the respondent in the work, or other relevant parties should be notified of the outcome of the case.
- C. The RIO is responsible for ensuring compliance with all notification requirements of funding or sponsoring agencies.

## Appeals

Within 15 calendar days of receipt of the findings, the respondent may appeal the decision in writing to the Deciding Official. The Deciding Official may request that the RIO reconvene the investigation committee to review the appeal, or may require that a separate committee be convened to reopen the matter.

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References for Responding to Allegations of Research Misconduct

<sup>1</sup> 42 CFR 93.214 and 45 CFR 689.1

<sup>2</sup> DHHS ORI Newsletter, Vol. 15, No. 4, September 2007, page 4: ORI generally pursues plagiarism allegations when, for example, wholesale copying of language and data has been used to produce crucial portions of a grant application such as the preliminary results. However, when reuse of data and language involves former or current collaborators, ORI does not consider this to be plagiarism, but an outcome of the joint development of ideas, data, or language where it frequently is impossible to objectively sort out who was responsible for what.”

<sup>3</sup> 42 CFR 93.214

<sup>4</sup> Examples of such actions may include, but are not limited to:

- Withdrawal or correction of all pending or published abstracts and papers emanating from the research where research misconduct was found
- For the person responsible for the misconduct:
  - Removal of the responsible person from the particular project
  - Letter of reprimand
  - Special monitoring of future work
  - Probation
  - Suspension
  - Salary reduction
  - Initiation of steps leading to possible rank reduction or termination of employment
- Restitution of funds to the grantor agency as appropriate
- Other actions appropriate to the research misconduct

## Consulting

(UHS Board of Regents [Policy 57.02](#).)

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

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

for any actual or implied obligations or liabilities incurred by the individual resulting from a consulting or other paid professional agreement or activity.

- E. Faculty who wish to arrange consulting or other paid professional activities must provide prior written notification to their dean. The outside consulting and paid professional activities application form can be found at <http://www.uh.edu/human-resources/forms/consulting.pdf>. Review by the dean of such activities will include consideration of any real or apparent conflict of interest and the benefit of the proposed service to the System and the component university. Each faculty member who engages in consulting or other paid professional service, including teaching on a temporary basis at other institutions, must ensure that such activities do not require commitments of time averaging more than one day per calendar week, and must arrange such activities so as not to interfere with regularly scheduled classes.
- F. Professional or administrative staff who wish to arrange consulting or other paid professional activities must obtain prior written approval from the appropriate supervisor. While consulting is a recognized aspect of faculty activities with the limitations noted in this document, consulting by professional or administrative staff must be justified on an individual basis by clear and direct benefit to the System.
- G. When any of an individual's salary is paid from funds for externally sponsored activities, the time allowable for consultation or other paid professional activities must comply with sponsor requirements.

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

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

### **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, as described above in paragraph E.

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

### **Procurement Integrity Policy**

(41 USC 423, as amended)

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

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

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

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

For more, review the Division of Research's webpage on Procurement Integrity at <http://www.uh.edu/research/sponsored-projects/proc-pol-guide/procurement-integrity/>.

### **Inter-institutional Agreements**

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

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

### **Travel Policy**

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

- A. All travel paid or reimbursed from any University of Houston funds must have cleared all the appropriate levels of approval prior to the trip being taken.
- B. To maintain insurance coverage and/or accountability, prior approval is required on all university travel regardless of funding sources.
- C. Foreign travel that will be paid from local (not state-appropriated) funds requires the prior approval of the appropriate Vice President. Foreign travel that will be paid with state-appropriate funds requires the prior approval of the appropriate Vice President and the Chancellor/President, or designee. Following a foreign trip, the traveler must submit an agenda to the appropriate Vice President as well as a trip report that describes the activities and meetings including those attending and how the trip was beneficial for the university.



- D. All receipts and other required documentation for reimbursement must be submitted to the faculty member's department within 60 days of returning from the trip. (Receipts must be submitted within 60 days after the purchase for non-travel reimbursements as well.)
- E. Failure to comply with the Travel Policy may result in a faculty member being unable to recover travel expenses.

### **Faculty Travel**

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

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

## Research

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 university has established policies related to such funding and to the responsibilities of the campus community in carrying out externally funded research projects. (See "*Sponsored Research at the University of Houston*," pages 132-133.)

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

### Freedom to Publish

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

### Textbook and Educational Materials Policy

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

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

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

### **Institutional Review Boards and Other Safety-related Committees**

Please refer to section on Environmental Health and Safety (*pages 135-137*).

### **Internal Funding**

#### **Faculty Development Initiative Program (FDIP)**

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

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

More information on FDIP may be found at <http://www.uh.edu/fdis/fdip/index.php>.

#### **Grant to Enhance and Advance Research (GEAR)**

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

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

GEAR awards may be used for virtually any purpose as long as it supports the proposed research program and enhances the ability of the Principal Investigator to obtain external funding. Funding requests may range from \$10,000 to \$30,000 depending upon the type and scope of research. Faculty salaries for proposals are limited to \$6,000 per proposal.

More information on the GEAR awards may be found at <http://www.uh.edu/research/funding-ops/find-funding/gear/>.

## **New Faculty Research Program**

The New Faculty Research Program is intended to aid faculty who wish to initiate research for the first time and who have not had previous support, exclusive of that as a student or a postdoctoral fellow. Grants up to \$6,000 will be awarded to individual faculty members, as part of the University of Houston's efforts to support research and scholarly activity that constitute an integral part of the university's instructional program.

More information on the New Faculty Research awards may be found at <http://www.uh.edu/research/funding-ops/find-funding/new-faculty/>.

## **QEP Curriculum Development Grant Program (Learning through Discovery Initiative)**

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

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

## **Small Grants Program (SGP)**

The purpose of the Small Grants Program (SGP) is to provide funding for unique or unusual research and scholarly projects, including disciplinary equivalents in the performing and creative arts, not routinely supported by departments or colleges or currently funded from external sources. Up to \$3,000 per year may be requested. Individuals may submit only one application for this program per year. An applicant is only eligible to have one funded SGP over a five-year period. The program does not cover course preparation for faculty or students, instructional projects, or activities primarily classified as faculty development. The SGP award cannot be used as a supplement to an existing award from any source. All expenditure of funds must comply with State of Texas guidelines.

Due to limited funding in the program, the Research and Scholarship Committee established three areas of priority for funding:

1. Funding that is essential to maintain an ongoing research project initiated at the University of Houston.
2. Initial support for a project with the potential to attract external funding.
3. Travel:
  - a. To meet with program directors at potential sponsoring agencies. SGP will fund not more than 50% of such expenses. Proposals must indicate specific individuals or offices to be contacted, and include any other supporting documentation available.

- b. To carry out specific research activities. Applicant must clearly identify the specific research activity which cannot be carried out on the UH campus and for which travel is therefore required (e.g. to access a library collection not available through interlibrary loan). Applications should reflect the real costs as described in the Allowable Costs section below.

More information on the SGP awards may be found at <http://www.uh.edu/research/funding-ops/find-funding/small-grants/>.

### **Provost Faculty Travel Fund**

The Provost's Faculty Travel Fund is designed to help the University of Houston's tenured and tenure-track faculty members and librarians enhance their professional development and increase the visibility of the institution by supporting travel to present the results of their research or creative activity at meetings with a national or international audience. A copy of the Provost's Faculty Travel Fund guidelines and the application form are available for download on the Office of the Provost website at: <http://www.uh.edu/provost/fac/faculty-grants/>.

### **External Funding**

#### **Sponsored Research at the University of Houston**

#### **Indirect Cost Recovery**

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

#### **The Division of Research (DOR)**

The University of Houston encourages the seeking of external funds for research purposes. As the primary support organization for research administration at the University of Houston, the Division of Research (DOR) can aid faculty in the identification of potential funding sources and in making preliminary contacts with the agencies. 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.

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

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

Consulting activities are not normally subject to this policy. (*See Consulting Policy, pages 125-126.*)

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

### **Processing of External Funds**

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

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

### **Responsibility to the Granting Agency**

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

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

*For further information, refer to the Office of Contracts and Grants website at <http://www.uh.edu/research/sponsored-projects/>.*

### **Fiscal Responsibility**

Research Financial Services within the Division of Research is responsible for reporting financial information to the sponsors. As part of overall administrative management, the principal investigator is responsible for initiating expenditures on a sponsored research agreement. These



expenditures must adhere to all federal, state and university policies and procedures.

Responsibilities include:

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

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

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

### **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/proposal-preparation/>.*

### **Salary Support from External Funding**

The University of Houston has adopted the Additional Compensation Policy for Faculty, which is referenced under the Professional Responsibilities Section on *pages 125-126*.

In some cases, the discontinuance of external funding has resulted in severe hardship for those faculty members whose income was contingent on the continuation of external funding. Under these circumstances, the faculty member should consult with the appropriate administrative unit or OCG.

- A. The university has a federal requirement and associated policy in place to review, and manage as appropriate, significant financial conflicts of interest in research. This policy 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.
- B. Certifications of Compliance are required to be submitted annually 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/>.*



## **Payments to Human Subjects**

Human subjects are individuals whose physiological or behavioral characteristics and responses are under study in a research project. Payments to these individuals and the protection of their confidentiality must comply with the guidelines of the funding agency, the Office of Contract and Grants, the University's Institutional Review Boards (the Committees for the Protection of Human Subjects or CPHS), and the Internal Revenue Service. All projects involving human subjects must be reviewed and approved prior to the start of the project (see Committees for the Protection of Human Subjects below on this page). Researchers should consult with the college business administrator prior to starting the research project to determine the most appropriate method for paying subjects.

See the [MAPP policy 05.02.04](http://www.uh.edu/af/universityservices/policies/mapp/05/050204.pdf) website at <http://www.uh.edu/af/universityservices/policies/mapp/05/050204.pdf>.

## **Institutional Review Boards**

### **Committees for the Protection of Human Subjects**

These committees are charged with the responsibility for reviewing and approving 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. Committee review is required whether funding is from sponsored or non-sponsored sources and is conducted 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. Research involving human subjects and categorized as “Exempt” (for example, the de-identified use of archival data or existing biological specimens) requires submission to and administrative review by the CPHS office prior to initiation. The CPHS committees serve to ensure that the rights and safety of human subjects involved in research are protected and that the subject participates in the project only after giving informed consent.

For more information, visit the website:  
<http://www.uh.edu/research/compliance/irb-cphs/>.

### **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, call 713-743-9199 or visit the website at <http://www.uh.edu/research/compliance/iacuc/>.*

### **Division of Advancement**

The Division of Advancement is responsible for engaging alumni in all realms of the University and acquiring gifts to the University from private donors including individuals, corporations, foundations and other organizations in the Houston community and elsewhere. It does so by working with university officers, faculty, and alumni, and friends of the University to identify, cultivate, and prepare and submit appropriate proposals to donor prospects. The division encompasses university-wide and individual college/units' fundraising efforts, gift planning, annual giving, corporate and foundation support, scholarships and endowments. It also develops stewardship programs to recognize existing donors.

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

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

### **Intellectual Property**

(Board of Regents [Policy 21.08](#) and [SAM 01.E.01](#))

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 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. When this result is achieved by the attraction of private risk capital, or by the transfer or licensing of rights in technology or copyrighted material, income may be realized, which the Board will seek to distribute in a manner fair both to the creator and to the university at which the intellectual property was developed. Financial return, however, always remains secondary and incidental to the public service aspect of developing and disseminating knowledge for public use.

The Board hereby delegates authority to promulgate specific policies for managing Intellectual Property Rights to the Chancellor/President.

## Definitions

- A. **Author** means any person (as defined below) who actually creates copyrighted material (also as defined below).
- B. **University** means all component universities within the University of Houston System.
- C. **Business participation** means the participation of a person in any activity the purpose of which is the commercial development or exploitation of intellectual property owned by each university. Such participation includes, but is not limited to an equity interest, a consulting relationship, service on a board of directors or similar body, a royalty interest, stock ownership, or any similar relationship.
- D. **Copyrighted material or work of authorship** means original expression that is fixed in any tangible medium of expression and subject to copyright protection under Title 17 of the United States Code as it now exists or as it may be amended. Under federal law, copyright subsists from the moment of the work's creation, although protection may be enhanced by registration with the United States Copyright Office. Works of authorship currently include:
  - 1. Books, journal articles, texts, glossaries, bibliographies, study guides, laboratory manuals, syllabi, tests, and survey instruments;
  - 2. Lectures and unpublished lecture notes;
  - 3. Musical works;
  - 4. Dramatic works;
  - 5. Works of visual art, such as sculptures and drawings;
  - 6. Architectural works;
  - 7. Films, audiovisual works, slide programs, film strips;
  - 8. Sound recordings and video recording containing original performances;
  - 9. Programmed instruction materials;
  - 10. Computer programs and documentation.
- E. **Creator** means an inventor or author (each as defined elsewhere in this policy).
- F. **Intellectual property rights** means those rights of ownership recognized by law in technology, copyrighted material, and computer software and firmware (all as defined in this policy). Intellectual property rights include but are not limited to patents, copyrights, and rights to trade secrets and know-how.
- G. **Inventor** means any person who discovers or invents technology.
- H. **Net income** means, with respect to Board-owned rights in any particular intellectual property and/or copyright, gross revenue received by the university as a result of the commercialization of such rights, less:
  - 1. any taxes or other charges of any description paid by each component university to governmental agencies in connection with the particular intellectual property, and
  - 2. all legal and other expenses paid by each component university to affiliates or third parties in filing, prosecuting, maintaining, enforcing, defending, and commercializing such rights in the United States or foreign countries.
- I. **Person** means any part-time or full-time faculty or staff member working at, or student attending, a component university or other entity under the governance of the Board.
- J. **Chancellor/President** means the Chancellor/President of the University under the governance of the Board, or any person the Chancellor/President designates to carry out the component university's intellectual property policy.

- K. **Software** means any program, language, or procedure for a computer system or portion thereof, and any accompanying documentation. Software includes but is not limited to computer programs, internal programs, subroutines, assemblers, generators, subroutine libraries, compilers, operating systems, and application programs.
- L. **Technology** means discoveries, innovations, or inventions.
- M. **University research** means all research, activities, or work within or related to a person's expertise or general area of employment responsibility, or that has resulted from activities performed by the person on university time, with the support of university funds, or from using university facilities, including work under a research agreement with an external sponsor and research conducted by anyone, whether or not a person as defined in this policy, who utilizes university resources.
- N. **University support** means direct university support which includes but is not limited to the following:
  1. Equipment, materials, and staff services from any of a variety of university departments other than the person's academic department or unit are used in the development of copyrightable materials at no expense to the author or the author's academic department/unit.
  2. Author receives support for the development of copyrightable material, such support being in the form of money in excess of normal salary, reduced teaching load, released time, or other resources from a department, college, or any unit of the university.

**Standing Committee on Intellectual Property**

- A. **Appointment.** The Chancellor/President of the University shall appoint or specify the make-up of a Standing Committee on Intellectual Property.
- B. **Duties in general.** In addition to the responsibilities described elsewhere in this policy, the committee will advise and recommend to the Chancellor/President:
  1. Guidelines and procedures for implementation of this intellectual property policy;
  2. Proposed amendments to this policy; and
  3. Such other matters as the Chancellor/President directs.

**Technology: Patents, Trade Secrets, Know-How, Etc.**

- A. **Ownership of Technology.** The board owns all intellectual property rights for technology that is conceived or reduced to practice by any person engaged in university research. The board has delegated to the Chancellor/President the authority to make the following exceptions:
  1. In rare circumstances, the university may agree, in contracts for sponsored research, that the sponsors or other parties will own the intellectual property rights in technology resulting from such research.
  2. The university may accept research agreements that, under statutory law, vest intellectual property rights in the technology resulting from such research in an agency of government.

3. After consideration as required by this policy, the university may waive intellectual property rights in technology in favor of the inventor.

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

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

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

**E. Action after Disclosure.**

1. The Standing Committee on Intellectual Property shall review the technology upon disclosure and shall recommend to the Chancellor/President that the university adopt one of the following actions:
  - 1.1 Institute action to acquire patent protection. The committee shall recommend whether the university should pursue such action itself or refer the technology to a management agency; or license the technology as know-how and/or a trade secret, whether or not it obtains patent protection;
  - 1.2 Transfer intellectual property rights in the technology to the research sponsor, if such transfer is required by a research agreement; or
  - 1.3 Waive ownership in the intellectual property rights in the technology in favor of the inventor with the university retaining 10% interest in future revenues, should the inventor commercialize the technology that was disclosed. In addition, if the university had invested financial resources for legal protection of the technology prior to waiving ownership, the university shall recoup its legal fees and expenses from future revenues in addition to retaining a 10% interest in the technology. It is noted, however, that any future improvements or modifications developed at the university are considered new inventions and the property of the university and subject to this policy. The 10% interest will be distributed 5% to the university, 3% to the department(s) or research center based on research budget allocation, and 2% to the college(s) based on research budget allocation.

2. After reviewing the committee's recommendation and such other technical consultation as is appropriate under the circumstances, the Chancellor/President shall determine the university's course of action concerning the technology.
3. The university will act in good faith and will attempt to evaluate all disclosures within a reasonable time. The Standing Committee on Intellectual Property evaluates each disclosure, if adequate (see subsection following), within 120 days from the first scheduled meeting after the disclosure is made. Within 120 days, the committee transmits its recommendation to the Chancellor/President. The Chancellor/President has an additional 60 days to act on the committee's recommendation. If either the committee or the Chancellor/President fails to act on the invention within the relevant time period specified above, the inventor may request, and in response thereto the university may grant, a waiver of the university's rights in favor of the inventor.
4. If the inventor fails to provide any information pertinent, in the committee's judgment, to evaluation of the disclosure, the disclosure is not "adequate." In such circumstances, the committee shall request the needed information from the inventor, and the calculation of the 120- and 60-day time periods specified in the foregoing subsection shall not begin until the requested information is received by the committee.

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

## Copyrights

- A. Ownership of Copyrights.** -The university will not assert ownership of copyright developed by faculty, staff or students, unless separately contracted for, in any:
1. Books, journal articles, texts, glossaries, bibliographies, study guides, laboratory manuals, syllabi, tests, and survey instruments;
  2. Lectures and unpublished lecture notes;
  3. Musical works;
  4. Dramatic works;
  5. Works of visual art, such as sculptures and drawings;
  6. Architectural works.
- B.** The university will assert ownership of copyright developed by faculty, staff or students, with regard to other types of works subject to copyright, namely,
7. Films, audiovisual works, slide programs, film strips;
  8. Sound recordings and video recordings containing original performances;
  9. Programmed instruction materials;
  10. Computer programs, software, and documentation, allocation of copyright ownership will be as follows:
1. **University Supported Effort.** When a work is created with financial support or resources of the university and the work is not prepared in accordance with the terms of a contract or grant in which the university is a party or as a specific university assignment, the university will own the copyright and the division of royalty and other income will be based on the Net Income Distribution included in this policy. Routine use, as sanctioned by university policy, of library, office space, equipment, supplies, facilities, and personnel within the author's department or college does not, for the purposes of this section, constitute university support.



2. **Extramurally Sponsored Effort.** Copyright in works developed with support from an outside agency through a contract or grant will be owned by the university. The Chancellor/ President or his designee must approve deviations from the policy.
3. **University Commissioned Efforts.** Materials or other works produced by employees of the university will be subject to copyright exclusively by the university, if the university commissioned the employee to write or produce the specific materials or works. A faculty member's general obligation to produce scholarly and creative works and the receipt of a professional development leave, unless there is a specific agreement to the contrary, do not constitute University Commissioned Efforts as defined in this policy.
4. **Student copyrights as a result of course work.** The university claims no rights to works created by students in the course of their education, such as dissertations, papers and articles, if the student received no support from a research grant in the form of wages, salary, stipend or a grant from funds administered by the university. The university will own the copyright to works created by graduate students in the course of their assigned duties of employment, including duties as teaching or research assistant as part of an assigned task, where the assignment explicitly states that the work will be owned by the university.
5. **Categorization issues.** It is recognized that the boundaries among traditional forms of works of authorship may be difficult to apply to certain works in newer media. For example, the line between books and programmed instruction materials may not be apparent. For purposes of this policy, a work whose presentation and use are interactive (other than for purposes of searching the text or otherwise locating material, or for verifying correct answers) will be regarded as a computer program rather than a book. When questions of ownership arise, and until the dispute is resolved, it will be managed as though the university owns the copyright.
6. **Software and Firmware.** Since the potential exists to protect software and firmware under copyright, patent, and trade secret laws, the author must comply with board policies and regulations governing copyrights and technology.

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

**D. Action after Disclosure.**

1. The Standing Committee on Intellectual Property shall review the copyright upon disclosure and shall recommend to the Chancellor/President that the university adopt one of the following actions:
  - 1.1 Recommend whether the university should pursue commercialization action itself or refer the technology to a management agency; or license the copyrighted material



- 1.2 Transfer the rights in the copyright to the research sponsor, if such transfer is required by a research agreement; or
  - 1.3 Waive ownership in the copyright in favor of the author with the university retaining 10% interest in future revenues, should the inventor commercialize the copyright that was disclosed. In addition, if the university had invested financial resources for legal protection of the copyrighted material prior to waiving ownership, the university shall recoup its legal fees and expenses from future revenues in addition to retaining a 10% interest in the copyright. It is noted, however, that any future improvements or modifications developed at the university are considered new copyrighted material and the property of the university and subject to this policy.
2. After reviewing the committee's recommendation and such other technical consultation as is appropriate under the circumstances, the Chancellor/President shall determine the university's course of action concerning the technology.
- E. Rights to Fair Use.** Where the university owns the copyright, the authors will retain rights to copy and distribute the original work to the extent necessary for classroom use in connection with courses taught by the author at this or another university. In exercising these rights, the author will provide fair attribution to the University of Houston for having supported the original work. The author will include the copyright notice; where the author owns the copyright, the university will retain rights to fair use, archival and library reproductions, and performance and display of such works.
- F. Revision of Materials and Works.** Works to which the university, under the terms of this policy, owns the copyright shall not be altered or revised without providing the author a reasonable opportunity to assume the responsibility for the revision. If the author declines the opportunity to revise such material, the Chancellor/President in consultation with the appropriate department or office will make the assignment of responsibility for the revision.
- G. Withdrawal of Materials and Works from Use.** Materials and works to which the copyright is owned by the university, under the terms of this policy, shall be withdrawn from use when the university in consultation with the author deems such use to be obsolete or inappropriate. No withdrawal or other discontinuance shall take place that would violate the terms of any licensing or other agreement relating to the materials or works.
- H. Reimbursement of Expenses.** In those instances where the university takes copyright ownership pursuant to this policy, any gross revenue received as a result of commercializing any work of authorship developed or created at the university must first be applied to recovering expenses associated with creation of such work and with exploitation of the copyright therein. Thereafter, revenue will be allocated to the authors and the university in the same manner as net income in the case of patented inventions.
- I. Apportionment among Authors.** When there is more than one author of a work, the shares to the respective authors shall be distributed in the proportions set forth on the disclosure form submitted to the Standing Committee on Intellectual Property. If no disclosure has been submitted, then by agreement between the authors, or in the absence of such agreement, the proportions will be determined by the Chancellor/President after affording an opportunity for hearing those concerned.
- J. Resolution of Copyright or Equity Disputes.** A University Copyright Appeals Committee, an Ad Hoc Subcommittee of the Standing Committee on Intellectual Property, shall review the

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

*For more information visit the website for the Intellectual Property Standing Committee at <http://www.uh.edu/research/intellectual-property/ipc-members/>.*

### **Commercialization of Board-Owned Intellectual Property and Copyrighted Material**

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

### **Net Income Distribution**

- A. **Reimbursements to System.** The Board recognizes the healthy symbiotic relationship that, by this policy, it seeks to foster between itself and persons associated with the university. Of necessity, the university will receive all gross revenue received as a result of commercializing any intellectual property rights developed or created at the university and this must first be applied to recovering the expenses listed in the definition of "net income" above. Thereafter, the creator(s) of the intellectual property has a residual economic interest, to be paid out according to the schedule in the following subsection.
- B. **Creator's Residual Economic Interest**
  1. 40% of Net Income shall be paid to the creator(s) thereof in the proportions set forth on the disclosure form submitted to the Standing Committee on Intellectual Property (in the case of patents and other technology) or on the title page of the copyrighted work.
  2. Thereafter, unless the Standing Committee on Intellectual Property recommends, and the Chancellor/President adopts, a different distribution, the remaining Net Income derived from commercialization of the intellectual property rights shall be distributed as follows:
    - a. 40% to the university;
    - b. 13% to the creator(s) academic department(s) or research center(s) in proportion to the research budget allocation;
    - c. 7% to the College(s) in proportion to the research budget allocation.
  3. When there is more than one creator, the foregoing shares to the creator shall be distributed in the proportions set forth on the disclosure form submitted to the Standing Committee on

Intellectual Property (in case of patents or other technology) or on the title page of the copyrighted work.

- C. **Time of Distributions.** The sums referenced in the foregoing schedule shall be distributed annually to the creator(s) or the university as soon as practicable after the close of the fiscal year during which the income was received.
- D. When equity, in the form of stocks, is received as part of the royalty agreement, the company shall be directed to issue 40% of the stocks to the creator(s) and the remainder of the stock shall be distributed to the university. In the event a creator receives stocks from the company, the creator shall elect to receive stock from either the university or the company, but not both.
- E. The distribution with the university shall be as follows:

The entire university share will be distributed to a component that has incurred the costs of development, protection of the Intellectual Property and Marketing;

- 1. If the University of Houston System or another component has contributed financially to the commercialization of the Intellectual Property, the Chancellor or his/her designee shall determine the equitable distribution of the university share;
- 2. Each component shall establish its own policies for internal distribution.

### **Business Participation**

- A. **Business participation approved.** The Board does not discourage persons subject to this policy from participating in the commercial development and/or exploitation of Board-owned intellectual property. Nonetheless, such participation must conform in all respects to this policy, including the policy concerning licenses and transfers, and to applicable state and federal laws.
- B. **Specific requirements.** In particular, a person shall not engage in business participation if such participation would violate Board [Policy 21.08 Intellectual Property](#); Board [Policy 57.08 Conflict of Interest](#); Section 572.051, Texas Government Code; [section 51.912](#), Texas Education Code; or any other state or federal law or regulation that controls such participation.

### **Copyrights and Copyright Infringement Laws**

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, 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>.

## **Faculty Awards**

### **Esther Farfel Award**

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

### **John and Rebecca Moores Professors**

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

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

### **Teaching Excellence Awards**

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

Faculty may be nominated for all categories for which they may be eligible. The committee has the option to consider nominees for more than one category for which the nominee may be eligible but will award no more than one award to a nominee for that award year. Previous recipients are eligible for nomination in the sixth academic year following a prior award, with the exception of the Career Award (Category 7), Distinguished Leadership Award (Category 8), and Piper Award (Category 9) which may be awarded only once to an individual.

Faculty nominees (except for Category 4) must be tenured or tenure track faculty who have been in residence at the University of Houston for at least two academic years prior to the year of nomination. Nominees for Category 4 must have been on the faculty at least half time for three years prior to nomination. Category 5 nominees must be currently enrolled as graduate students and must have held teaching responsibilities for at least two academic semesters.

### **Category 1: Teaching Excellence**

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

### **Category 2: Provost Core**

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

### **Category 3: Innovation in Instructional Technology**

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

### **Category 4: Instructional/Clinical Faculty**

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

### **Category 5: Graduate Teaching Assistant**

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

### **Category 6: Community Engagement**

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

### **Category 7: Career Award**

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

### **Category 8: Distinguished Leadership Teaching Excellence Award**

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

## **Category 9: Piper Professor Award**

The Piper Professors Award recognizes superior teaching at the college level in the State of Texas. The Minnie Stevens Piper Foundation annually honors ten faculty with awards of \$5,000 each for superior teaching at the college level. The Piper Professor nominee for the university is selected by the Teaching Excellence Awards committee. Any current full-time UH faculty who has taught for a minimum of at least five academic years prior to the year of nomination may apply for consideration. Nominees must have been a finalist or recipient of a university level Teaching Excellence Award. The University of Houston may submit only one nomination annually for the Piper Professor Program. With Provost Office approval the nomination is submitted to *the [Minnie Stevens Piper Foundation](#)* on behalf of the University of Houston.

## **Group Teaching Excellence Awards**

The Group Teaching Excellence Awards recognize groups of faculty in both formal and informal programs who demonstrate a strong commitment to teaching and student success. Two cash prizes of \$30,000 will be available for awards to groups of faculty who have worked together collaboratively in the design, implementation, and evaluation of a course or a series of courses to improve student outcomes and who demonstrate effective and innovative teaching over a three year period of time.

## **Awards for Excellence in Research, Scholarship or Creative Activity**

The University of Houston Awards for Excellence in Research, Scholarship or Creative Activity carry cash prizes of \$8,000 and are granted annually to two faculty members in each of the following categories:

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

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

**Assistant Professor:** Candidate will have demonstrated great potential in research, scholarship, or creative endeavors by virtue of the exceptional quality of their early contributions. At the time of nomination, an individual must have at least two (2) years of service at the University of Houston.

An individual can receive an award only once at each faculty rank and no more than one award every three years.

## **Provost Faculty Advising Award**

The University Advising Award Committee will select one faculty advisor to receive the Provost Faculty Advising Award for excellence in undergraduate academic advising. The recipient will receive a plaque and monetary award of \$1000. Any faculty member whose responsibility is to provide academic advising services to undergraduate students at the University of Houston may be



nominated for this award. Self-nominations are also accepted. Previous recipients are eligible for nomination in the sixth academic year following a prior award.

For more information on awards, visit <http://www.uh.edu/provost/shared-interest/awards/>.

## **Mentoring Awards**

The Office of Undergraduate Research has established two faculty mentoring awards, designed to recognize demonstrated excellence in supporting undergraduate research and scholarship outside the classroom.

### **Early Mentoring Award**

This award celebrates the efforts of faculty who are in the earlier stages of their careers. Candidates must be full-time tenured or tenure track faculty who are within eight years of their terminal degrees and who have demonstrated mentorship for at least three years at the University of Houston. There is a one-time cash award of \$1,500.

### **Lifetime Mentoring Award**

This career award is for a tenured professor or associate professor who has made significant contributions to advancing undergraduate research and scholarship at the University of Houston for at least ten years. There is a one-time cash award of \$3,000.

## **Women and Gender Resource Center Distinguished Faculty Scholar Awards**

The mission of the Women and Gender Resource Center Advisory Board is to identify the concerns of women at the University of Houston and to promote gender equality throughout all areas of the UH community. To support faculty development, the CWG will recognize both a *pre-tenure* and a *tenured* faculty scholar's research productivity and impact in their disciplines. See <http://www.uh.edu/ucw/> for additional guidelines.

### **Pre-tenure Award**

An award of \$1,000 will go to the person who demonstrates a solid record of representative scholarly activity and productivity, who is making significant contribution to or impact in her discipline and who exhibits potential for continued achievement.

### **Post-tenure Award**

An award of \$1,000 will go to the person who demonstrates an established and continuing record of scholarly achievement, who has developed a significant national and international reputation contributions to and/or impact in her discipline and who demonstrates clear plans for continued scholarly achievement.

## **Academic Excellence Award**

The Academic Excellence Award recognizes University of Houston System institutions' programs and initiatives that exemplify excellence in teaching, research, and/or public service. Programs and initiatives that receive this award will share their "success stories" at each quarterly Board meeting. The campus will give a presentation at the meeting of the UH Board of Regents' Committee on Academic and Student Success.



**Nominations:**

Program nominations are reviewed on a continuous basis. All UH System institutions are invited to nominate particularly distinctive programs or initiatives. To nominate a program for the award, submit a Nomination Form to the Provosts' Council, c/o Office of the Provost at UH. Be sure to provide a brief description of the program, its merits and strengths, and its impact on student learning, advancement of the discipline, and benefit to the community, the state, or the nation.

A selection committee comprised by the Provosts' Council and a faculty representative from each campus will review the nominations and select a program or initiative to be recognized at the Board of Regents quarterly meeting for presentation. The Senior Vice Chancellor for Academic Affairs and Provost will work with the presenters in developing and preparing for the presentation. UH public relations staff will work with the campus public relations department to promote optimal recognition of the award to the general public.

**Criteria for Selection:**

All programs and initiatives that exemplify excellence in teaching, research, and/or public service are eligible for consideration. In selecting programs for presentation, the following criteria will be used:

- A. Appropriateness of the program to the approved mission of the institution
- B. Strengths of the program in terms of:
  - 1. Faculty strengths and reputation
  - 2. Student strengths and achievements
  - 3. External support (grants, contracts, etc.), distinctions, honors, partnerships
- C. Productivity of the program in terms of:
  - 1. Graduates, refereed publications, patents, copyrights, and other similar measures
  - 2. Benefits accrued directly or indirectly to the state (e.g., economic, cultural, health, educational, etc.)
  - 3. Impact on the reputation of the institution locally, regionally, or nationally.

## Responsibilities to Students

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

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

- A. Faculty are expected to be available for consultation with students, to respect the civil and institutional rights of students, to deal equitably and fairly with them in academic matters, to support students in their own development within the university community, and to set a high example of professional conduct with respect to both personal and corporate responsibilities and ways of dealing with ethical issues.
- B. With regard to student records, policies have been developed that are consistent with applicable federal and state laws and regulations. (*For information regarding some of these policies, see "Confidentiality of Student Records," pages 152-153.*) Faculty are expected to be familiar with and observe these policies.
- C. Faculty are expected to understand and comply with provisions made for participation by students in university decision making, both university-wide and within the subordinate units. The schools, colleges, and departments, on their part, may arrange for consultation with students and their participation in administrative committees.

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

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

### Accommodating Students who Have Disabilities

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

Each faculty member has an obligation to be aware of University of Houston policies and procedures regarding equal educational opportunities for all of its students. The System policy is contained in [SAM 01.D.09](#) – *Student Academic Adjustments/Auxiliary Aids Policy*. Additionally, faculty may take advantage of frequently updated information on students with disabilities disseminated by CSD and the informational website sponsored by the Office of Academic Affairs at <http://www.uh.edu/csd/>. Faculty are encouraged to contact CSD staff with questions or concerns.

Each instructor is required to announce to her/his classes at the beginning of each semester the instructor's willingness to reasonably assist Students with Disabilities. The instructor will provide the class with the contact information of the University's student disability services center. Furthermore, faculty members should communicate in their syllabi that students who need an adjustment/auxiliary aid under the Americans with Disabilities Act or any other state or federal law should notify the Center for Students with DisABILITIES.

### **Suggested wording for syllabus:**

"The University of Houston complies with Section 504 of the Rehabilitation Act of 1973 and the American with Disabilities Act of 1990, pertaining to the provision of reasonable academic 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/>."

### **Religious Holy Days Policy**

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

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

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

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

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

### **Academic Calendar and Course Listings**

Class Schedule and supporting information is accessible via the UH website at <http://www.uh.edu>. Faculty should familiarize themselves with the most current information available.

## Confidentiality of Student Records

Student records are released by the Office of the University Registrar, colleges, and departments for use only by faculty and staff for authorized university-related purposes. The release of student records for off-campus use occurs only with the student's knowledge and consent, or where required by law. Release of student records for off-campus use is normally channeled through the Office of the University Registrar with some certain exceptions, i.e., college or departmental recognition or announcements.


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

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

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

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

Students who wish to protect directory information from disclosure should do so by adding a privacy flag to their record via myUH Student Self Service, Privacy Settings link. Privacy flags on directory information remain in effect until the student changes the setting in myUH. The record of any student who has requested the university to withhold public information will have a privacy

icon  indicated on the record. If the message appears, the only people allowed to view student information should be authorized faculty and staff and the student.

It is critical that all faculty and staff accessing student academic and demographic information be informed of and understand these restrictions. The only people allowed to view a student's information should be authorized faculty and staff and the student. In addition, employees should ensure passwords used to access student information meet the requirements of university policy, [MAPP 10.05.01](#), Acceptable Use of Information Resources. Student information is considered confidential and should be protected in accordance with university policy, [MAPP 10.05.03](#), Data Classification and Protection.

If students request information in person, they must present picture identification before any information other than public information may be released. Information pertaining to a student may be disclosed to a third party such as the student's parents or legal guardian with prior written consent of the student or without prior written consent if the student is a dependent as defined by the Internal Revenue Code of 1954. Parents should complete the Request Withhold or Release Public Information Form available online at [http://www.uh.edu/academics/forms/public\\_info1.pdf](http://www.uh.edu/academics/forms/public_info1.pdf) and submit it to the Office of the University Registrar. They must be willing to present proof of dependency by providing a copy of their last income tax return.

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

*Questions regarding these policies should be directed to the Office of the [University Registrar](#), 713-743-1010.*

## **Classroom Protocol**

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

## **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 will still need to be notified in order for the university to be in compliance.

Textbook requests may be submitted online at <http://www.uh.bncollege.com> under the Faculty tab or emailed to [tm510@bncollege.com](mailto:tm510@bncollege.com). Please include book title, ISBN, course/section and enrollment information with all requests.

## **Final Examinations**

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

If during the summer a final examination is scheduled to conflict with a scheduled class, the final examination shall take precedence over the class and the instructor of the class shall not penalize any student who misses the class to take the final exam. The student who has the conflict shall notify both instructors of that conflict as soon as possible, but no later than the week before

the scheduled exam. The student's absence from class shall be considered to be official, and the instructor shall allow the student either to make up missed work or be exempt without penalty from making it up.

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

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

### **Classroom and Laboratory Examinations**

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

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

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

### **Incomplete (I) Grades**

The grade of "I" (Incomplete) is a conditional and temporary grade assigned when students for non-academic reasons beyond their control have not completed a relatively small part of all requirements for a course. The student must:

- A. be currently passing the course or have a reasonable chance of passing the course, in the judgment of the instructor;
- B. contact the instructor immediately regarding the reasons that prevent the student from completing the course, final assignment and/or final examination;
- C. initiate the request for an "I" grade within 90 days of the posting of the course grade;
- D. make arrangements with the instructor to complete the course requirements, if assigned;
- E. understand the only way to have an "I" grade changed to a passing grade is to fulfill course requirement in accordance with the conditions specified by the instructor;
- F. not re-enroll (re-register) for the course in which their grade is currently recorded as an "I". Even when the conditions for fulfilling the course requirements include participation in all or



part of the same course in another semester, the student must not re-enroll (re-register) for the course.

As stated under [Fulfillment of Grade Requirements for a Degree](#), all grades of "I" shall be computed as grades of "F" for the purposes of calculating a student's cumulative grade point average.

After the course work is completed by the student, the instructor will submit a change of grade form to change the "I" grade to the grade earned.

The grade of "W" is assigned to a course only after the last day to drop or withdraw without receiving a grade by the official census date (see [Academic Calendar](#)), and before the final day to drop or withdraw (generally four weeks prior to the last day of classes in a fall or spring semester). Students are responsible for initiating action to drop or withdraw from classes. Students who fail to do so will be retained on the class rolls even though they may be absent for the remainder of the semester. In such instances a grade of "F" (or "U" in S/U graded courses) will be awarded unless the conditions for a grade of "I" have been met.

## **Dropping Courses**

Students are expected to commit themselves to courses as early as possible in order to succeed in their 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](#) for the exact date.

Before dropping courses:

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

Beginning in Fall 2007, all students (current, transfer, and first time in college students) will be permitted a total of six (6) "W"s (withdrawals), whether student or instructor initiated. "W"s may be used at any time during their college career to drop a course up through the last day to drop a course or withdraw from all courses. When these six (6) "W"s have been used, the student must complete all subsequent courses. When enrollment in a course requires concurrent enrollment in another class (e.g. lecture/lab combination), the dropping of such a course combination, whether for credit or not, will count as one withdrawal if dropped within the same term. The academic department offering the course must verify the concurrent enrollment requirement.

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

Through the last day to drop a course with a grade of "W", enrollment in a course may be terminated in any one of the ways listed below. Termination of enrollment does not entitle the student to receive a refund of tuition and fees if the drop date is after the refund date. Should an attempted drop result in exceeding the six (6) "W" limit, the student will remain enrolled in the course and the instructor will assign the grade earned, which may be an "F".



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

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

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

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

at colleges and universities outside of Texas, do not count against the student's six drop limit. Students may also refer to the [Texas Administrative Code §4.10](#).

### **Student Evaluations of Teaching**

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

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

Exceptions to these policies must be approved by the Provost.

### **Medical and Administrative Withdrawal Policy for Undergraduate Students**

*Undergraduate students* may visit the Office of Academic Program Management (APM) 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 APM may call 713-743-9112 or visit the office in 109 E. Cullen for assistance.

Provost Office resource page for dropping or withdrawing from courses is:  
<http://www.uh.edu/provost/student-success/policy-updates/drop-withdraw/>.

Undergraduate Catalog policy on dropping courses for medical or emergency reasons:  
<http://catalog.uh.edu/content.php?catoid=8&navoid=1402>.

Undergraduate Catalog policy on withdrawing courses for medical or emergency reasons:  
[http://catalog.uh.edu/content.php?catoid=8&navoid=1412#med\\_withdraw](http://catalog.uh.edu/content.php?catoid=8&navoid=1412#med_withdraw) (*Undergraduate Withdrawal*).

### **Medical or Administrative Withdrawal Policy for 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://www.uh.edu/graduate-catalog/>.

## **Disruptive Behavior**

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

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

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

## **Freedom of Expression**

The University of Houston is committed to fostering a learning environment where free inquiry and expression are encouraged. The University expects that persons engaging in expressive activities will demonstrate civility, concern for the safety of persons and property, respect for University activities, respect for those who may disagree with their message, and compliance with University policies and applicable local, state, and federal laws. The University of Houston maintains its right to 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 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.

If any area on the University grounds has been reserved pursuant as specified below, the individual or group who reserved the area has priority for use of the area. If an expressive activity attracts an audience of 25 or more people, disrupts University business or classes, blocks building access, or creates traffic hazards, the expressive activity may be required to be relocated to another area on campus that can better accommodate the large group or type of activity.

University buildings are reserved for use by University of Houston students, faculty, and staff, except as provided therein or otherwise permitted by policies of the University. Non-permitted commercial activities (as defined herein) are not allowed. Expressive activities permitted under this policy do not imply official endorsement by the University. Decisions to be made by University officials under this policy will be based on the guidelines set forth in this policy and will not be based on the content or viewpoint of a proposed expressive activity. Groups or individuals engaged in expressive activities are responsible for the content of the expression. Questions regarding this policy may be directed to the Dean of Students Office.

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

*A copy of this Policy may be obtained from the Dean of Students Office, Room 256, Student Center South or from the website at <http://www.uh.edu/af/universityservices/policies/mapp/13/130101.pdf>.*

*Questions regarding this policy may be directed to the Dean of Students Office, Room 256, Student Center South, 832-842-6183, or visit the website at <http://www.uh.edu/dos/>.*

# Academic Honesty Policy

## Article 1. General Provisions

**1.01 Rationale.** 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. It is recognized, however, that a large university will include a few students who do not understand, appreciate, and practice these principles. As a consequence, alleged cases of academic dishonesty will inevitably occur, and students will be accused. The following procedures are designed to handle these cases in fairness to all concerned: the accused student, the faculty, and the University of Houston.

**1.02 General Jurisdiction.** Matters relating to academic honesty are within the general jurisdiction of the Senior Vice President for Academic Affairs and Provost. Allegations of scientific misconduct against students engaged in research supported by funding from the University of Houston or other sources will be handled according to the University of Houston [Responding to Allegations of Research Misconduct Policy](http://www.uh.edu/research/) available at <http://www.uh.edu/research/>.

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

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

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

**1.06 Compass of Actions Taken Against Students.** Actions taken against students are university-wide in their effect, unless otherwise specified.

**1.07 Faculty or Instructor of Record Responsibility.** Faculty or instructor of record shall have the responsibility of reporting incidents of alleged academic dishonesty through their departmental hearing officer to their college hearing officer.

**1.08 Proctor or Teaching Assistant Responsibility.** Proctors or Teaching Assistants shall have the responsibility of reporting incidents of alleged dishonesty to the instructor of record involved, or to the appropriate authority if the alleged act is not associated with a specific class.

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

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

**1.11 Amendment of Policy.** The academic honesty policy shall be reviewed every two years by a joint sub-committee comprised of representatives of both the Undergraduate Committee and the Graduate and Professional Studies Committee. Any amendments to the academic honesty policy must be approved by both Committees.

### **1.12 Definitions.**

**1.12.01 Class Day.** Class days, for purposes of this policy, are defined as days the University of Houston is open and classes are meeting (excluding Saturdays) as posted in the university academic calendar, excluding professional colleges and programs.

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

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

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

**1.12.05 Instructor.** Instructor refers to a faculty member, lecturer, teaching assistant, or teaching fellow in charge of the section in which an alleged violation of this Academic Honesty Policy has occurred. Such individuals will typically be the instructor of record of the course section in question. In instances where this is not the case, instances of alleged cheating should be reported to the instructor of record.

**1.12.06 Departmental Hearing Officer.** Departmental hearing officer refers to the person responsible for facilitating the departmental procedures related to the alleged violation(s) of the academic honesty policy. Typically the department chair serves in the role or an individual designated by the department chair.

If the college responsible for the course in question does not have individual departments for the course, departmental hearing officer as used below shall refer to the individual designated by the dean of the college to act as the initial hearing officer in academic honesty cases (see Article 5.02).

**1.12.07 College Hearing Officer.** The college hearing officer is designated by the dean of the college in which the alleged violation of the academic honesty policy occurs and is responsible for facilitating the college procedures related to the alleged violation of the academic honesty policy.

**1.12.08 Student.** Student refers to any individual who has ever registered and paid (made a complete payment or has made at least one installment payment) for a course, or courses at the University of Houston. This definition would normally include undergraduate students,



graduate students, post baccalaureates, professional school students and individuals auditing courses.

**1.12.09 Waiver of Departmental Hearing.** Students with no academic honesty violations on record may have the option to waive a departmental hearing under agreement with the instructor and departmental hearing officer. Waiver of departmental hearing is not an option for cases involving sanctions of disciplinary probation or that require a college hearing [see Article 5.01a].

**1.12.10 Waiver of Automatic College Hearing.** Departmental sanctions of suspension or expulsion require an automatic college hearing. Students wishing to waive the college hearing and thereby accept such sanctions must review and sign a waiver form issued by the Dean of Students Office (see Article 5.04).

**1.13 Notification.** All required written notices shall be addressed to the student via his/her UH email. It is the responsibility of the student to keep his/her destination email address up to date on his/her student record ([my.uh.edu](http://my.uh.edu)). A notice properly addressed and so sent shall be presumed to have been received by the student.

**1.14 Retaliation.** The University of Houston prohibits retaliatory action against persons who report incidents of alleged academic dishonesty under this policy, are suspected of having reported incidents of alleged academic dishonesty under this policy, who are identified to serve or have served as witnesses in any academic honesty proceeding, or who are identified to serve or have served on an Academic Honesty Panel. Any acts of retaliation will be referred to the appropriate office for review and response.

## **Article 2. Preventive Practices**

**2.01 Preventive Measures.** Instructors can help students comply with the academic honesty policy by minimizing temptation to act dishonestly. Measures instructors should consider are:

- a. Maintaining adequate security precautions in the preparation and handling of tests;
- b. Structuring the type and sequence of examination questions so as to discourage dishonesty;
- c. Providing ample room for proper spacing of students during examinations, when possible;
- d. Monitoring examinations, especially in large classes and in classes where not all students are known to the instructor or the assistant;
- e. Making clear to their students the rules concerning the use of electronic devices;
- f. Making clear to their students, in writing, what constitutes academic dishonesty, particularly in those classes where group activities (laboratory exercises, generation of field reports, etc.) are part of the instructional process;
- g. Requiring students to submit their own work and defining for their students particular aspects of dishonesty, such as plagiarism and self-plagiarism;
- h. Requiring students to show a picture ID and sign major assignments and exams; and
- i. Helping raise consciousness of the issue of academic honesty by asking students to sign an honor pledge in the first week of class and to write a short honor pledge in their own hand on their major assignments.



### **Article 3. Categories of Academic Dishonesty**

**3.01 Application of the Academic Honesty Policy.** This policy applies to those acts of dishonesty committed by a student while enrolled at the University of Houston.

**3.02 Academic Dishonesty Prohibited.** "Academic dishonesty" means employing a method or technique or engaging in conduct in an academic endeavor that contravenes the standards of ethical integrity expected at the University of Houston or by a course instructor to fulfill any and all academic requirements. Academic dishonesty includes, but is not limited to, the following:

- a. ***Plagiarism.*** Representing as one's own work the work of another without acknowledging the source (plagiarism). This would include submitting substantially identical laboratory reports or other materials in fulfillment of an assignment by two or more individuals, whether or not these used common data or other information, unless this has been specifically permitted by the instructor. Plagiarism includes copying verbatim text from the literature, whether printed or electronic, in written assignments, candidacy exams, and theses/dissertations.
- b. ***Cheating and Unauthorized Group Work.***
  - 1) Openly cheating in an examination, as copying from another's paper;
  - 2) Being able to view during an examination, quiz or any in-class assignment an electronic device that allows communication with another person, access to unauthorized material, access to the internet, or the ability to capture an image, unless expressly permitted by the instructor;
  - 3) Using and/or possessing "crib notes," as unauthorized use of notes or the like to aid in answering questions during an examination;
  - 4) Giving or receiving unauthorized aid during an examination, such as trading examinations, whispering answers, and passing notes, and using electronic devices to transmit or receive information;
  - 5) Securing another to take a test in the student's place. Both the student taking the test for another and the student registered in the course are at fault;
- c. ***Fabrication, Falsification, and Misrepresentation***
  - 1) Changing answers or grades on a test that has been returned to a student in an attempt to claim instructor error;
  - 2) Using another's laboratory results as one's own, whether with or without the permission of the owner;
  - 3) Falsifying results in laboratory experiments;
  - 4) Misrepresenting academic records or achievements as they pertain to course prerequisites or corequisites for the purpose of enrolling or remaining in a course for which one is not eligible;
  - 5) Representing oneself as a person who has earned a degree without having earned that particular degree;

**d. *Stealing and Abuse of Academic Materials***

- 1) Stealing, as theft of tests or grade books, from faculty offices or elsewhere, or knowingly using stolen tests or materials in satisfaction of exams, papers, or other assignments; this includes the removal of items posted for use by the students;
- 2) Mutilating or stealing library materials; misshelving materials with the intent to reduce accessibility to other students;

**e. *Complicity in Academic Dishonesty.*** Failing to report to the instructor or departmental hearing officer an incident which the student believes to be a violation of the academic honesty policy;

**f. *Academic Misconduct.*** Any other conduct which a reasonable person in the same or similar circumstances would recognize as dishonest or improper in an academic setting.

**Article 4. Sanctions**

**4.01 Sanctions.** The sanctions for confirmed violations of this policy shall be commensurate with the nature of the offense and with the record of the student regarding any previous infractions.

Sanctions may include, but are not limited to: a lowered grade, failure on the examination or assignment in question, failure in the course, probation, suspension, or expulsion from the University of Houston, or a combination of these.

If a sanction of probation or suspension is assigned, it must have a specified starting and ending date, unless the sanction is expulsion, in which case, an end date is not specified. Students are not permitted enrollment under sanctions of suspension and expulsion.

A student who is found to have violated the Academic Honesty Policy at the departmental or college level before the end of an academic term may remain enrolled in the course at issue while any appeal provided for under this policy is pending. Sanctions do not become final and may not be applied while any appeal provided for under this policy is pending. Once a sanction becomes final, if the case occurs in a college outside of the student's college, the department hearing officer/college hearing officer will notify the dean of the student's college.

A doctoral student receiving a sanction of suspension must file a leave of absence for the duration of the suspension, in accordance with the continuous enrollment policy as specified in the Graduate Catalog.

Students may not receive a "W" for courses in which they have been found guilty of a violation of the Academic Honesty Policy. If a "W" is received prior to a guilty finding, the student will become liable for the Academic Honesty penalty, including "F" grades.

**4.02 Probation, Suspension, and Expulsion.** The terms probation, suspension and expulsion as used herein refer to these sanctions only as they are imposed as a result of violations of this Academic Honesty Policy. All policies and procedures for the imposition and appeal of these sanctions are contained within this policy.

**Article 5. Departmental Hearing**

**5.01 Departmental Hearing.** When an instructor has reasonable grounds to believe that a student has committed an act of academic dishonesty, the instructor shall notify the departmental hearing officer of the concerned department, in writing, within five class days of discovery.

Students who believe they have observed an act of academic dishonesty shall report the incident to the instructor, as soon as possible, who shall then report the incident in writing to the departmental hearing officer within five class days.

The departmental hearing officer will check to see if the accused student has any prior violations of academic honesty listed with the Provost Office. A student is eligible for a waiver of departmental hearing only if he/she has no prior waiver of departmental hearing and no previous findings of violation of the Academic Honesty Policy.

**a. Waiver of Departmental Hearing.**

Upon notifying the departmental hearing officer of the alleged violation, the faculty member shall have the option of suggesting to the departmental hearing officer a sanction for the alleged violation of the Academic Honesty Policy that would, if acceptable to the student, instructor, and departmental hearing officer, preclude a departmental hearing. Such sanctions would normally include reduced or zero credit for a test assignment, a grade of “F” in a course, or other such agreed upon sanctions. Sanctions involving disciplinary probation or sanctions requiring a college level hearing cannot be used.

In cases for which the instructor suggests a sanction so as to preclude the departmental hearing, within five class days of receiving the instructor’s report the accused shall be notified, in writing, by the departmental hearing officer informing the accused student of the nature of violation, the recommended sanction, and ask the student to select between the choice of: (1) admitting the alleged academic honesty violation, waiving the formal departmental hearing, and accepting the associated sanction; or (2) proceeding to a formal departmental hearing.

The waiver of a departmental hearing must be agreed to by the instructor, the student, and the departmental hearing officer. In the event that all three cannot agree to a waiver, the case must be moved to a formal departmental hearing.

The waiver of a departmental hearing is agreed to by completing a Departmental Hearing Waiver form that must be signed by the student, instructor and departmental hearing officer. Upon agreement of the waiver of departmental hearing, a copy of the completed waiver form will be shared with the college dean’s office and the Provost Office to be included on a list of recorded cases of academic honesty violations. Following graduation, the student can request that his/her name be removed from these lists. An agreement to settle an academic honesty infraction via a waiver of the formal departmental hearing will not result in any record being kept that is reflected on the student’s transcript.

If the departmental hearing officer has not received a response from the student within ten class days of the notification of these options, the departmental hearing officer shall, within the next five class days, schedule a departmental hearing. In case waiver of a hearing is not an option, the departmental hearing officer shall, within ten class days of receiving the instructor’s report, schedule a departmental hearing.

**b. Departmental Hearing Procedures.**

In case a waiver of a departmental hearing is not an option, the departmental hearing officer shall, within ten class days of receiving the instructor’s report, schedule a departmental hearing. To schedule a departmental hearing, the departmental hearing officer shall notify the instructor, the accused student and the accusing party, if other than the instructor, of the

nature of the alleged violation and the time and date of the hearing as provided in Article 1.13. Should any of the parties fail to appear, without good cause, at the departmental hearing, the departmental hearing officer may render a decision in their absence.

Both the instructor and the student shall have an opportunity to present their cases during the above hearing. This may include the introduction of documents and/or physical evidence as well as statements from individuals who have knowledge of the circumstances. If either party intends to have individuals appear at the hearing for such statements, the departmental hearing officer must be notified at least three class days before the hearing. Both parties have an opportunity to examine the documents pertaining to the alleged violations during the hearing.

If either party intends to have legal counsel attend the hearing, the departmental hearing officer must be notified at least three class days before the hearing. The hearing cannot be held with such counsel in attendance unless a representative from University of Houston legal counsel is also present. If either party will be advised by legal counsel, this individual may attend the hearing but shall not directly participate in the hearing or enter into discussion with the parties present.

If physical evidence or witness testimony is presented in a departmental hearing, and if either party needs reasonable time to review the evidence and/or consider the witness testimony, either party may request a postponement of the departmental hearing. Decisions on postponement of the hearing will be made at the discretion of the departmental hearing officer.

The departmental hearing officer shall render a decision within three class days after the hearing and forward copies of the decision to the student, instructor, and college hearing officer of the college responsible for the course in which the alleged violation occurred. Both the accused student and the instructor have equal option of appeal if the decision of the departmental hearing officer is not acceptable.

If a written appeal is not received by the college hearing officer of the college within ten class days of the decision at the departmental level, the action recommended by the departmental hearing officer shall be implemented and the Provost Office shall be notified of the outcome of the case [see Article 8.02]. A departmentally recommended sanction involving suspension or expulsion shall be reviewed in a college hearing unless such hearing is waived as provided in Article 5.05 below.

**5.02 Colleges without Departments.** For colleges that do not have individual departments, the decision of the initial hearing officer designated by the dean of the college shall constitute the equivalent of a departmental decision. Only if this decision is reviewed and upheld by the college by virtue of appeal or automatic review would a college decision be rendered. The hearing officer for the college appeal or review shall not be the initial hearing officer.

**5.03 Group Violations of the Academic Honesty Policy.** At the discretion of the departmental hearing officer in instances where two or more students are alleged to be involved in the same infraction of the academic honesty policy, the case against the whole group will be dealt with at a single hearing. The facts common to all cases will be presented with all students allegedly involved in attendance. Each student shall be allowed to present his/her statement to the departmental hearing officer separately. If requested by the presenting student, such statements shall be presented outside the hearing of the other students.

**5.04 Waiver of Automatic College Hearing.** If a student wishes to accept a departmentally recommended sanction of suspension or expulsion, he or she may submit a written waiver form to the college hearing officer no later than ten class days after being notified of the departmental decision. The waiver form is issued from the Office of the Dean of Students only after the student has met with the Dean of Students (or his/her designated representative), who will ensure that the student is aware of his/her rights in the appeal process. The college hearing officer shall then implement the departmental decision and notify the appropriate parties of the disposition of the case within five class days of receipt of the waiver request. The sanction is considered a college level decision.

**5.05 Conflict of Interest.** When departmental or college hearing officers are themselves party to a case, they shall in no way participate in the administration of the policy in that case. Such responsibilities shall pass to faculty and administrators not directly involved in the case.

## **Article 6. College Hearing**

**6.01 College Hearing.** If either the student or the instructor wishes to appeal the decision of the departmental hearing officer, he or she must file a written request for a hearing with the college hearing officer within ten class days of the departmental hearing officer's decision. Within ten class days of receipt of such a request the college hearing officer will set a time, date and place for the hearing. The college hearing is a *de novo* hearing in which the Panel must consider all the evidence on all the issues presented in the appeal as though no previous action had been taken.

**6.02 College Hearing Officer.** The college hearing officer shall be appointed by the dean. Typically the college hearing officer will be appointed for a full academic year. Correspondence with the college hearing officer should be addressed to the office of the dean of the college.

**6.03 Duties of the College Hearing Officer.** It shall be the duty of the college hearing officer to:

- a. Select a college academic honesty panel;
- b. Set and give notice of the time and place of the college hearing;
- c. Conduct the hearing in an orderly manner so that both sides are given an opportunity to state their case;
- d. Rule on procedural matters;
- e. Leave the hearing room during the panel's deliberations but remain available to answer questions on procedural matters; and
- f. Prepare and submit one copy of the decision to the dean, one copy to the Provost, and the dean of the Graduate School for matters involving graduate students. The college hearing officer shall not take part in the vote or otherwise participate in the deliberations of the panel.

**6.04 Academic Honesty Panel.** The college academic honesty panel shall consist of two faculty members and three students. The panel will be selected by the college hearing officer from faculty and currently enrolled students from the accused student's academic peer group in the college. Faculty and students serving on the panel should be from the college in which the alleged violation occurred, and preferably from departments outside of either parties' academic department or program, where possible. The chair of the panel shall be a student appointed by the college hearing officer.

**6.05 The Dean of Students.** The dean of students, or his or her designee, shall be required to attend all college hearings to serve as a University of Houston resource person. This individual shall not have a vote at a college hearing nor be present during the deliberations of the panel.

**6.06 College Hearing Procedure.**

- a. The date of the hearing must be adhered to. Any delay must be approved by the college hearing officer. Only documented, extenuating circumstances will be considered.
- b. Three class days prior to the hearing, all parties shall notify the college hearing officer in writing of the names of their witness(es), if any, and the subject of their testimonies. At that time, the parties will also submit a copy of the documents they intend to present during the hearing. Upon request, the college hearing officer will make available to the parties the information and documents referenced in this section.
- c. The hearing shall have an audio recording. The parties involved may obtain a copy of the recording from the college hearing officer at the expense of the requesting party.
- d. The hearing shall be held in two phases. The first phase is the determination of violation followed, if necessary, by the sanction phase.
- e. All parties shall be afforded the opportunity to present statements, pertinent documentation and witnesses and have an opportunity to examine the documents pertaining to the alleged violations during the hearing.
- f. All parties shall have the right to advice of counsel of choice. If either party intends to have legal counsel attend the hearing, the college hearing officer must be notified at least three class days before the hearing. The hearing cannot be held with such counsel in attendance unless a representative from the University of Houston legal counsel is also present. If either party will be advised by legal counsel, this individual may attend the hearing but shall not directly participate in the hearing or enter into discussion with the parties present.
- g. The case presented to the panel must be made by the accusing individual and the accused student. The instructor or other individuals who reported the alleged misconduct shall present the relevant information, including statements by witnesses. The accused student shall then present his/her statement and relevant information, including statements by witnesses. Neither party shall ask questions of or solicit answers directly from the other party or its witnesses. Where it appears that there are matters of disputed fact, the college hearing officer shall request the panel to ask appropriate questions of either or both parties and/or their respective witnesses so as to clarify the points in dispute.
- h. The panel shall have the right to question any and all witnesses and to examine documentation presented.
- i. At the conclusion of each phase of the hearing, the panel shall meet in a closed session to render a decision. A student is found in violation of the academic honesty policy by a vote of four or more members of the panel, and the sanction has to be agreed to by three or more members of the panel. Upon reaching a decision in either phase, the panel shall reconvene with all parties present and inform all parties of its judgment.
- j. The college hearing officer shall notify in writing all parties, including the dean of the college and the Provost of the disposition of the case within five class days of receipt of the panel's judgment.



**6.07 Group Violations of the Academic Honesty Policy.** In instances where two or more students are alleged to be involved in the same infraction of the academic honesty policy, at the discretion of the college hearing officer, the case against the whole group will be heard by a single academic honesty panel. The facts common to all cases will be presented with all students allegedly involved in attendance. Each student shall be allowed to present his/her case and/or statement to the panel separately. If requested by the presenting student, such statements shall be presented outside the hearing of the other students.

## **Article 7. Senior Vice President for Academic Affairs and Provost Appeal**

**7.01 Appeal of the Panel's Decision.** Within five class days of the panel's decision, either party may file an appeal for review with the Provost or that officer designated by the Provost. The appeal shall be in writing and shall specifically address the issues to be reviewed.

**7.02 Senior Vice President for Academic Affairs and Provost Procedural Review.** The Provost shall review the appeal within fifteen class days of the receipt of the appeal. If either party has requested an appearance or is requested to appear by the Provost, then both parties must be informed. Because the case was heard by a peer group (Article 6.05), the intent of the Provost's review is not to modify the sanction nor to substitute the judgment of the Provost for that of the peer panel which heard the case, or hear new or additional facts on the case. The intent of this review is to ensure that the college hearing and judgment were not arbitrary, capricious or discriminatory, did not violate the due process of the accused, and did not violate the concepts of fair play to both parties. The Provost shall notify all parties of the decision within three class days of the completion of the review.

### **7.03 Actions Which the Senior Vice President for Academic Affairs and Provost May Take.**

- a. The Provost may conclude that one or more of the basic concepts involved in a fair hearing at the college level were violated and may subsequently pursue one of the following actions:
  - 1) For undergraduate students, return the case to the college for another hearing with a different panel in accordance with Article 6 and resubmission for Provost procedural review; or
  - 2) For undergraduate students, if in a rare case, the Provost deems that another hearing in the same college would not result in a fair hearing, the Provost may send the case to another college with the disciplinary expertise to hold a fair hearing, for a new hearing there in accordance with Article 6 and resubmission for Provost procedural review; or
  - 3) For undergraduate students, if, in a rare case, the Provost independently deems that the sanction assessed in the college hearing is not commensurate with the violation, then the Provost may send the case back to the college as described above; and
  - 4) For graduate students, refer the case to the Vice Provost/Dean of the Graduate School for review. Review by the Dean of the Graduate School shall be for the purpose of determining: (i) whether the appealing party was given a reasonable opportunity to be heard at the departmental and college levels; and (ii) whether the college's decision was reasonably reached. Procedural violations which would not affect the substantive result or are not substantially prejudicial to either party are not grounds for appeal.

Upon receiving a referral from the provost for review the Vice Provost/Dean of the Graduate School will review the appeal and will, within ten working days, return the case to the college for another hearing with a different panel in accordance with Article 6 and



resubmission for provost procedural review, reject the appeal, or refer the case to a committee. If the dean decides to refer the case to a committee, the dean will notify the chairperson of the Graduate and Professional Studies Council (GPSC), who will appoint a committee (GPSGC) within ten working days of receiving such notification.

The GPSGC will consist of one graduate/professional students and three faculty members, none of whom will be from any respondent's department or program or from the department or program in which the student is enrolled. The faculty members will be appointed by the chair of GPSC on an ad hoc basis. The chair of GPSC will also select the student member from a pool of graduate students provided by each of the colleges. The chair of the committee will be elected by the committee members. All members of the committee will have voting privileges. The GPSGC will review the appeal file and may also request other documents as it sees fit.

Within thirty calendar days of being formed, the GPSGC should schedule an appeal hearing with the interested parties. This deadline may be extended at the GPSGC's discretion upon written request of a party or upon stipulation of all parties. The hearing shall have an audio recording. The parties involved may obtain a copy of the recording at the request and expense of the requesting party. Counsel for each of the parties involved may be present with that person, but will not be allowed to speak at the hearing. Expert resources should be available to the committee in an advisory capacity as needed. The GPSGC will report its recommendations in writing to the Vice Provost/Dean of the Graduate School within ten working days of the hearing, who will make a decision within ten working days following their receipt. The Vice Provost/Dean of the Graduate School will forward a copy and this decision in writing to the parties, to the dean of the college in the event he/she is not a party, to the GPSGC and resubmission to the provost for final procedural review.

- b. The Provost may approve the actions and conclusions of the college academic honesty panel and see that the judgment is enforced. The Provost procedural review is the final institutional step in matters of academic integrity.

## **Article 8. Records**

**8.01 Records of Academic Honesty Proceedings.** Records of proceedings under this Policy are considered a student's education records in accordance with the University of Houston's Student Records: Family Educational Rights and Privacy Act Policy. Records relating to departmental proceedings under this policy, including waivers, will be maintained by the department. Records relating to college proceedings under this policy, including waivers, will be maintained by the college.

**8.02 Provost's Office.** The Office of the Provost shall maintain a record of those students found in violation of the policy at any level, including those students who have elected a waiver of the departmental hearing (See Article 5.01a).

**8.03 Notations on a Student's Transcript.** A sanction of probation, suspension, or expulsion under this policy will be expressly noted as such on the student's transcript, unless specified in the sanction that it should not be noted. When the specified period of time for a sanction of probation or suspension has elapsed, the student may petition the college placing the notation of academic honesty violation to request that the Office of the University Registrar remove the notation from the transcript. It is the student's responsibility to initiate any petition to remove the notation from

the transcript. Notations of expulsion because of academic dishonesty are a permanent part of the student's transcript.

### **University of Houston Degree Revocation Policy**

Academic integrity rests with all members of the university community, and academic decisions are based upon trust between faculty and students. The university's award of academic credit and degrees is its certification of student achievement. If students acquire their academic credentials by deceit, fraud, or misrepresentation, they deceive not only the university but also those who may eventually rely upon the knowledge and integrity of its graduates. Such misconduct may not be discovered until the student has left the university or received a degree. In such instances, the university reserves the right to revoke degrees, decertify credit, and rescind any University of Houston certification that warrants that the student successfully completed course work or requirements for a degree. Decisions to take such actions will be made only after careful consideration of all the available evidence.

*For additional information: Office of the Provost, 713-743-9101 or visit the website at <http://www.uh.edu/provost/>.*

### **University Hearing Board**

The University of Houston has delegated a wide range of disciplinary powers to the University Hearing Board. Students, faculty, and staff representatives participate in making decisions in this body. The University Hearing Board and the Dean of Students Office handle the majority of student disciplinary matters. Faculty cooperation with the University Hearing Board is essential for its successful operation. More information concerning this body is contained in the *Student Handbook*.

*For additional information: Dean of Students Office, 832-842-6183 or visit the website at <http://www.uh.edu/dos/>.*

## Student Services

The university offers a number of services to assist students. Faculty should be especially aware of those enumerated below. For services designed primarily for faculty, *see page 195* and "Health Services" *pages 197-198*. Services for staff are set forth in the *Staff Handbook*.

### Counseling and Psychological Services

Counseling and Psychological Services (CAPS) is a unit within the Division of Student Affairs. The mission of CAPS is to assist members of the university community in functioning effectively in their academic and personal lives. It accomplishes this by identifying and addressing the needs of students; educating the university community about institutional and environmental climates conducive to student success; and empowering faculty, staff, and students to develop skills for such success.

*For additional information, see page 195 or Counseling and Psychological Services, 713-743-5454, or visit the website at <http://www.caps.uh.edu/>.*

### Student Learning Assistance

#### Learning and Assessment Services

Learning and Assessment Services (LAS) exists to support the learning assessment and measurement needs of the university, including Research/Assessment and Measurement: (1) formative or summative assessment support; (2) outcome assessment; (3) data collection; (4) data analysis; (5) report writing; (6) program evaluation; (7) customer satisfaction surveys; (8) needs assessments; (9) focus groups; (10) student learning outcomes; (11) course evaluations; (12) item development and analysis; (13) LAS library of data source for research projects on testing, dual credit, advanced placement, international baccalaureate and psychometric assessments; and Learning/Teaching Support: (1) training to support teaching for learning styles, learning strategies, and assessment/measurement of learning; (2) electronic course delivery with technology resources and tools; (3) course evaluations; (4) provide make-up exams; (5) provide tutoring; (6) provide class sessions on learning styles and strategies (e.g. when professors must be absent); (7) class support for career assessments and personality batteries.

#### Learning Support Services (Unit of Learning and Assessment Services)

The mission of Learning Support Services (LSS) at the University of Houston is to increase graduation and retention rates by helping students learn how to learn. LSS offers learning support programs and self-development activities to increase student performance in learning and improve student retention. Individualized learning plans as well as group intervention programs are available. The primary services offered by LSS, free to currently enrolled students, include tutoring (provided by College Reading and Learning Association certified tutors), Learning Strategies Counseling (including assessment), Learning Strategies workshops (for both undergraduate and graduate students), and multi-media support. LSS is open to all students. It serves those students who are in good standing and trying to maintain a high GPA, those students who encounter difficulties, and those who may be at risk for non-retention or graduation. LSS believes the services it provides maximize student learning and help students achieve graduation goals within a reasonable time frame.

Faculty may refer student for tutoring for selected courses. For a list of courses for which tutoring is provided, please visit the LSS website.

LSS services are provided in Cougar Village.

*For additional information: Learning Support Service, 713-743-5411 or visit the website at <http://www.las.uh.edu/lss/>.*

### **Challenger Program (Unit of Learning and Assessment Services)**

The Challenger Program is a retention program that provides academic and personal support to first generation, low income, and/or physically disabled undergraduate university students. Participating students receive the following services: peer tutoring, workshops, a three-semester credit reading/writing and study skills course, study groups, academic and personal counseling, vocational testing and advising, financial aid assistance, cultural enrichment activities, newsletters, orientation, interest groups, support groups, referrals to on/off campus support programs, and early warning system and needs assessment guidance. The Challenger Program has been funded by the U.S. Department of Education as a TRIO Program for more than twenty-five years.

*For additional information: Challenger Program, 713-743-5420, or visit the website at <http://www.las.uh.edu/CP/>.*

### **University Testing Services (Unit of Learning and Assessment Services)**

The University Testing Services (UTS) provides comprehensive testing and assessment services. These services include administration of admission, placement, credit by exam, psychological batteries, correspondence examinations from other universities, and professional certification and licensing examinations. UTS delivers computer based testing for exams such as the GRE, Accuplacer, CLEP, TExES and TOEFL. Faculty may also wish to use UTS test development and validation service and/or to utilize UTS to administer make-up exams for their students.

Consultation is also available to faculty for considering the awarding of course credit based upon AP (Advanced Placement Exams), IB (International Baccalaureate), SAT II (Scholastic Aptitude Test) Subject Tests, CLEP (College Level Examination Program), DAN TES (Defense Activity for Non-traditional Education Support) and UH Departmental Exams

*For additional information: University Testing Services, 713-743-5444, or visit the website at <http://www.las.uh.edu/uts/>.*

### **Measurement and Evaluation Center**

The Measurement and Evaluation Center (MEC) promotes excellence through evaluative services. Services include administration of university faculty/course evaluations, design of research and survey methodologies, instrumentation, data analysis, program evaluation, exam scoring and consultation for outcome assessment. The center also forges public-private partnerships with Houston businesses and non-profit organizations.

*For additional information: Measurement and Evaluation Center, 713-743-5440, or visit the website at <http://www.las.uh.edu/MEC>.*

## **UH Writing Center**

The UH Writing Center provides assistance to both student and faculty in the areas of writing assessment, instruction, curricular innovation, community outreach, professional development, and research in the teaching of writing. Their services include Writing in the Disciplines (WID), English Language Learners (ELL) developmental writing, faculty support, and general writing consultation. The UH Writing Center provides both one-on-one and online writing consultation to students, and is available to develop college writing programs for the UH colleges and departments on campus. Some fees may apply to faculty, departments, and/or colleges.

*For additional information: UH Writing Center, 713-743-3016, or visit the web site at <http://www.uh.edu/writecen/>.*

## **Center for Students with DisABILITIES**

The Center for Students with DisABILITIES (CSD) is the Chancellor/President's Division unit that helps to ensure that qualified students who have disabilities have equal opportunities to educational programs, services, and activities as do non-disabled students at the University of Houston.

CSD provides academic accommodations, recommendations and support services to students who have temporary or permanent learning disabilities, health impairments, physical limitations, psychiatric disorders, and/or sensory impairments.

Faculty members are required to announce to their classes at the beginning of each semester the instructor's willingness to reasonably assist students who have disabilities. The instructor will provide the class with the contact information of the Center for Students with DisABILITIES. See Responsibilities to Students, pages 150-151.

*For additional information: Center for Students with DisABILITIES, 713-743-5400, TDD, 713-749-1527, or visit the website at <http://uh.edu/csd/>.*

## **Other Student Services**

### **International Student and Scholar Services Office (ISSSO)**

The ISSSO is the main resource center for all international students and J-1 scholars needing special services related to their status as non-citizens of the United States. The ISSSO assists F-1 and J-1 visa students and scholars in maintaining legal status with the U.S. Department of Homeland Security and U.S. State Department, in processing for Immigration's approval of transfer from other U.S. universities. F-1 students may not take more than the equivalent of one class (three credit hours) per semester online or through asynchronous distance education (tape purchase or broadcast).

ISSSO assists international students in documenting enrollment status for their respective foreign governments, in extending Immigration's authorized time periods inside the United States, in reentering the country after short trips abroad, in securing work permission and practical training authorization, and in facilitating the transfer of U.S. currency from foreign banks.

All non-immigrant visa students may apply to the ISSSO for financial assistance through the Texas Public Education Grant (TPEG) awards and scholarship programs.

All new international students and scholars are required to report to the ISSSO prior to the start of their academic programs to have their passports and immigration documents checked for legal status, to receive special services related to their visa status, and to attend the orientation program for international students and scholars.

The ISSSO also offers other special services including counseling and advising on problems uniquely related to international students and scholars and provides opportunities for international students and scholars to enhance their social and cultural education by establishing close relationships with U.S. families.

*For additional information, see <http://www.uh.edu/oiss/>, phone number 713-743-5065.*

## **Student Employment**

Positions open to and preferred for students with financial need are posted in the Office of Scholarships and Financial Aid; other positions open to students, including many available off campus, are posted in the University Career Services. In addition, some colleges may post information about internships and job opportunities.

JOBank is a job posting service that enables UH departments and off-campus employers to post job openings online for part-time, full-time, internship, and career-level positions. Students and alumni registered with UCS receive automatic email notification of jobs related to their interests and/or majors. Website: [www.career.uh.edu](http://www.career.uh.edu) Call (713) 743-5123.

*For additional information: Office of Scholarships and Financial Aid, 713-743-9090, or visit the website at <http://www.uh.edu/enroll/sfa/>; University Career Services, 713-743-5100, or visit the website at <http://www.career.uh.edu/>.*

## **Student Government Association**

The Student Government Association (SGA) is considered the university's official student body representative organization. SGA works to improve the quality of education and university life and participates in policy-making decisions by representing the interests of students to the administration, the Board of Regents, and the faculty by the use of various university committees, councils, and boards. The association also participates in student disciplinary cases, and works to preserve student rights.

*For additional information: Student Government Association, 713-842-6225, e-mail [sga@uh.edu](mailto:sga@uh.edu), or visit the website at <http://www.uh.edu/sga>.*

## **Student Center**

The Student Center (formerly the University Center), comprised of the Student Center North and Student Center South buildings, offers a wide variety of useful products, services and opportunities to meet and connect with other people. Now fully operational after renovations were completed in January 2015, the Student Center is home to expanded lounge space, meeting rooms and large event spaces for conducting departmental and organization meetings, special events, educational programs, workshops and conferences. The Student Center also includes dining facilities, expanded office spaces and resources for student organizations, study rooms and state of the art wireless capability.

The Student Center South is home to the Center for Diversity and Inclusion; Dean of Students Office; Information Center; Student Centers Office including Conference and Reservation Services,

Operations and Administration; Student Affairs IT Services; and Business Services. Retail, financial services and food operations include: ATMs; Barnes and Noble @ UH; CougarByte Technology Store; CreationStation; Games Room; TDECU Credit Union; Chick-Fil-A; Cougar Xpress Mini-Market; Freshii; McDonalds; Panda Express; Shasta's Cones & More; and Starbucks.

The Student Center North is home to the Center for Student Involvement; Center for Fraternity and Sorority Life, Center for Student Media; the LGBT Resource Center; the Women and Gender Resource Center; and the Veterans' Services Office.

*For more information, contact the Information Center at 832-842-6256; Student Center Office, 832-842-6260, or visit the website at <http://www.uh.edu/studentcenters/>.*

### **Student Center Satellite**

Located on the northwest side of campus, the Student Center Satellite offers services similar to those at the Student Center. This facility provides a variety of seating and lounge spaces state of the art wireless capability; a Games Room; C3 Convenience Store; Little Shasta's Cones & More; Smoothie King; Starbucks; and a large food court featuring: Burger Studio, Chick-Fil-A Express, Little Kim Son, Pizza Hut Express, Sushic, Taco Bell, and Tandoori Nite.

*For more information contact the Information Center at 832-842-6256; Student Centers Office at 832-842-6260, or visit the website at <http://www.uh.edu/studentcenters/>.*



## Environmental Health and Life Safety

(<http://www.uh.edu/ehs/>)

It is the goal of the University of Houston to maintain a safe and healthy environment for all students, employees, and visitors in accordance with all standards affecting university health and safety established by federal and state legislation.

To accomplish the stated goal and maintain compliance, the Environmental Health and Life Safety (EHLS) Department has been created. EHLS is responsible for helping the university community eliminate or reduce hazards, provide safety training, establish specialized environmental health and safety procedures, work with applicable safety compliance committees to promote compliance and advise the faculty and administration of the University of Houston in matters of environmental health and life safety.

*There are other university policies that address health and safety issues, such as the Fire Safety Code (MAPP 06.01.01, website at <http://www.uh.edu/af/universityservices/policies/mapp/06/060101.pdf>).*

### Environmental Health and Life Safety Policies

(MAPP 07.02.01 at <http://www.uh.edu/af/universityservices/policies/mapp/07/070201.pdf> and <http://www.uh.edu/af/universityservices/policies/mapp/06/060203.pdf>)

The purpose of this statement is to assign responsibility for the development and maintenance of an environment for students, employees, and visitors that is free of recognized hazards.

- A. **Maintenance of healthy environment.** The maintenance of a safe and healthy environment and the development of positive attitudes regarding safety among all members of the university community are the duty and responsibility of all university employees.

Deans, department chairs, faculty, and staff supervisors are to be continuously cognizant of the safety needs of their students and personnel. They shall initiate necessary preventive measures to control hazards associated with activities under their direction. It is essential that all supervisory personnel recognize that they are responsible for the safety of all personnel under their jurisdiction. Safety shall be incorporated as an integral part of all programs where there is a hazard of accidental injury.

- B. **Environmental Health and Safety Standards.** The university shall comply with the appropriate federal and state legislation, including the Texas Occupational Safety Act of 1967, the United States Substance Control Act of 1970, the National Fire Codes, the Texas Workers' Compensation Act, the Resource Conservation and Recovery Act of 1976 as amended in 1984, the Texas Hazard Communication Act of 1985 as amended in 1986, and any and all federal or state acts or laws that may relate to the university's operation. These acts, along with supporting guides and procedures issued from time to time by Environmental Health and Life Safety (EHLS) or the appropriate safety committee, will provide the necessary standards under which the university will conduct its safety program.
- C. **Administration of the safety program.** The responsibility for the administration of the University of Houston safety program is assigned to the Department of Public Safety (UHDPS).
- D. **Inspections.** UHDPS shall assist supervisory personnel in carrying out their responsibility of maintaining safe working conditions and facilities for all faculty, staff, and students under their

jurisdiction. To this end EHLS shall conduct periodic inspections of all university facilities and report to the responsible administrator any conditions that need to be remedied. UHDPS has the authority to order the immediate cessation of activities where significant danger is perceived. The office should be consulted prior to the commencement of any project requiring renovation or new construction or any project requiring the use of potentially hazardous equipment or materials.

- E. **Correction of unsafe conditions.** In recognition of the fact that there will be situations in which hazards must be immediately remedied, the Director of EHLS has authority to remedy or cause to be remedied hazards that the responsible supervisor does not remedy in a timely manner. The cost to remedy all hazards caused by the actions of the supervisor shall be charged to the budget of the academic or administrative unit in which the hazards occur.

### **Research Oversight Committees**

The Institutional Biosafety Committee reports to the Executive Vice President for Administration and Finance while the other advisory committees are administered by the Division of Research.

*Faculty members with questions related to any of the following advisory committees should contact the committees through the office of the appropriate Vice President.*

### **Institutional Biosafety Committee**

The University of Houston Institutional Biosafety Committee is responsible for ensuring compliance with National Institutes of Health (NIH) Guidelines on Research Involving Recombinant or Synthetic Nucleic Acid Molecules. Such compliance is required regardless of the source of funds used to support the research.

It is the policy of the University of Houston to comply with and adhere to the most recent edition of Biosafety in Microbiological and Biomedical Laboratories, as published by the Centers for Disease Control and the National Institutes of Health and codified in the most current, applicable issue of the Federal Register.

For a principal investigator to initiate research involving recombinant or synthetic nucleic acid molecules and/or biohazardous agents, the Institutional Biosafety Committee must approve a written MUA, or Memorandum of Understanding Agreement, prior to either the submission of proposals or the start of such research.

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

### **Radiation Safety Committee**

The University of Houston's Radiation Safety Committee is charged with ensuring that the University of Houston's Radiation Safety Program remains in compliance with the State Radiation Regulations in Title 25 of the Texas Administrative Code, Chapter 289 as well as other applicable State and Federal Regulations. The Radiation Safety Committee advises the UH administration including the President, Senior Vice President for Academic Affairs and Provost, Executive Vice President for Administration and Finance, and Vice President for Research and Technology Transfer about radiation hazards at the University of Houston. The Radiation Safety Committee functionally operates under the authority of the Vice President for Research and Technology Transfer to formulate policies and procedures relating to radiation receipt, possession, use, transfer and disposal and has the responsibility of assuring radiation safety at the University of Houston.

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

## **Safety Compliance Assistance**

Faculty members whose research involves chemicals, biohazards, radioactive materials, animal care, or human subjects are legally and ethically responsible to know and comply with all applicable regulations. The above-listed committees are more fully discussed in the Proposal Preparation and Award Administration Guide, published by the Office of Contracts and Grants.

Failure to comply with the numerous and varied regulations may jeopardize funding to the University of Houston.

*For additional information:* Office of Contracts and Grants, 713-743-9222, visit the website at <http://www.uh.edu/research/sponsored-projects/>.

## **Other Health Related Policies**

### **Alcoholic Beverages on Campus**

The possession, consumption, and/or distribution of any alcoholic or intoxicating beverage is prohibited in any public area of the University of Houston campus except at:

- A. events previously authorized to serve alcoholic beverages by the Dean of Students, the Chancellor/President, Vice Presidents, or deans; and
- B. the University of Houston Hilton Hotel, cafeterias, and on-campus restaurants or food service areas where alcohol is legally distributed or sold.

A *public area* is defined as the campus parking lots, campus grounds, or any outside enclosed area or portion thereof, to which the public is invited or given general unrestricted access.

According to the General Appropriations Act (§ 2113.012), a state agency may not use appropriated money to compensate an officer or employee who uses alcoholic beverages on active duty.

### **Drug and Alcohol Abuse Prevention**

It is the policy of the university that the manufacture, sale, distribution, dispensation, possession, or use of illicit drugs is prohibited in the workplace, on the campus, or as part of any university activity. Information regarding health risks of substance abuse, sanctions imposed for violation of this policy, and its application and implementation by the University of Houston is available from the Department of Human Resources, the Office of Contracts and Grants, the Police Department, the Office of Scholarship and Financial Aid, and the Division of Student Affairs.

*For the full University of Houston Drug and Alcohol Prevention Policy, please see Appendix E, pages 244-256.*

### **Employee and Student Assistance Programs**

All members of the university community are eligible to consult with the Counseling and Psychological Service regarding the availability of drug abuse assistance programs. Drug and alcohol abuse counseling and rehabilitation program referrals are routinely made to mutual help

organizations, private hospitals, public treatment programs, and private drug treatment practitioners. Counseling and Psychological Services maintains a collection of resource materials pertinent to issues of drug abuse. Referrals for additional drug awareness information are made to other agencies and services. In addition, UH Wellness provides comprehensive education and prevention services including interactive programming through Alcohol 101+, the Choices Program, and small group social norming.

*For referrals or additional information contact Counseling and Psychological Service, 713-743-5454, or visit the website at <http://www.caps.uh.edu/>.*

## **UH Wellness**

The mission of UH Wellness, a campus-wide education and prevention program, is to promote healthy choices and create a healthier, safer learning environment across all dimensions of wellness including social, spiritual, intellectual, occupational, physical, and emotional wellness. These goals are achieved through educational workshops focused on maintaining healthy behaviors, promoting campus wide events, peer education, consultation, special programming, and community outreach. UH Wellness has an active peer education program, Cougar Peer Educators (CPE), which is open to all currently enrolled students.

UH Wellness is located in room 1038 of the Campus Recreation and Wellness Center. *For additional information: 713-743-5430 or 713-743-5455 or visit the website at <http://www.uh.edu/wellness/>.*

## **AIDS**

### **Purpose**

As mandated by UHS Board of Regents [Policy 29.01](#), the University of Houston has adopted a policy consistent with the Human Immunodeficiency Virus Services Act, Texas Health and Safety Code, Section 85.001. The purpose of the policy is to address the issue of Acquired Immune Deficiency Syndrome (AIDS) and to establish guidelines for responding to AIDS within the university community. The university acknowledges its responsibility to promote a safe, healthy, and supportive university community. AIDS has become a global health issue; the university addresses related university issues in this policy statement.

### **Policy**

- A. A University Committee on AIDS has been established. The committee represents the university community and addresses relevant medical, psychological, legal/ethical, and administrative issues.
- B. The university endorses the position of the American College Health Association that the primary responses of colleges and universities to AIDS should be educational. These educational programs are coordinated with established mental/personal/community health programs sponsored by the UH Health Center, Counseling and Testing Services, residence halls, Human Resources, Center for Students with DisABILITIES, and other organizations.
- C. Any student, faculty member, staff, or administrator with a transmittable disease, including those testing HIV-positive, has an obligation to protect the welfare of others and to attempt to prevent the spread of the infection.

- D. The university's commitment to non-discrimination applies to students, faculty, staff, and administrators identified as HIV-positive or as having an AIDS diagnosis.
- E. As specific AIDS-related medical problems arise, they will be addressed on a case-by-case basis following the current guidelines of the American College Health Association and Centers for Disease Control and the laws of the State of Texas. The university is committed to fulfilling the letter and spirit of the law as stated in the Human Immunodeficiency Virus Services Act, Senate Bill 959.
- F. Information concerning AIDS-related issues relative to any member of the university community will be handled in a sensitive manner to protect confidentiality and to prevent the misuse of such information.
- G. Any person who, in the conduct of university-related business, handles blood, body fluids, and/or body tissues will follow the guidelines set forth in "The Biological Safety Manual," available at [http://www.uh.edu/ehs/manuals\\_and\\_forms/Biological\\_Safety.pdf](http://www.uh.edu/ehs/manuals_and_forms/Biological_Safety.pdf).

### **Guidelines**

- A. AIDS educational literature is available at various locations including the UH Health Center, Counseling and Testing Services, and Human Resources. These materials are distributed at student orientation. All references mentioned in this document will be made available in the UH Wellness Center.
- B. A copy of the American College Health Association report, AIDS on the College Campus, will be made available in the reference section of the M. D. Anderson Memorial Library.
- C. The university will not require HIV testing of either employees or students. Voluntary testing for HIV is performed following the guidelines of the American College Health Association.
- D. If an employee or student has HIV-related concerns, that individual may consult the UH Health Center, Counseling and Testing Services, or any other knowledgeable counselor, physician, or administrator for appropriate referral or intervention. Educational programs and counseling programs will be provided on campus and/or appropriate referrals will be made to community agencies as necessary.

### **Smoking**

The University of Houston is designated as a tobacco-free campus, prohibiting the use of all tobacco products in university buildings and on university grounds, including parking areas, sidewalks, university-affiliated parking facilities, and university-owned buildings, except as designated in exceptions to this policy:

- A. As part of a University approved research project;
- B. As part of a University authorized performance that requires smoking by the artist or actor as part of the production;
- C. For educational or clinical purposes with prior approval as delineated in [MAPP 07.02.02](#).

For details, see [MAPP 07.02.02](#) at <http://www.uh.edu/af/universitieservices/policies/mapp/07/070202.pdf>.

## Other University of Houston Policies

### Contract Administration Policy

In accordance with Board, System and University contracting policies, only the Chancellor/President and his or her expressly designated agents may enter into contracts or modifications, amendments, and renewal of existing contracts or agreements that commit or obligate the resources of the University of Houston System or its components. The policy has specific requirements for reporting activity pertaining to certain contracts to the Board of Regents.

The Chancellor/President has delegated the negotiation and review of all contracts and agreements between the University of Houston and outside entities to his or her approved designee, with review and necessary approvals by the Office of the General Counsel and the Office of Contract Administration/Contract Compliance. Further, the Purchasing Department and the Office of Contracts and Grants have been delegated authority to negotiate, execute, and administer procurement documents approved by the Office of the General Counsel related to their activities.

*For additional information: see the Executive Director for Contract Administration/Contract Compliance and/or Board of Regents [Policy 57.01](#) (website at <http://www.uhsa.uh.edu/board-of-regents/policies/index.php>), [SAM 03.A.05](#) (website at <http://www.uh.edu/af/universityservices/policies/sam/3FiscalAffairs/3A5.pdf>) and [MAPP 04.04.01A](#) (website: <http://www.uh.edu/af/universityservices/policies/mapp/04/040401A.pdf>) on contracting.*

### Financial Responsibility

Faculty are included in the university policy on employee financial responsibility (See University of Houston Manual of Administrative Policies and Procedures 05.03.01). Under this policy university employees are required to satisfy their financial obligations to the university in a timely fashion. Employee financial obligations include payment for parking permits, citations or towing; purchases of goods or services from university auxiliary operations; payment for tuition, fees, or housing; library fines; Health Center or Counseling and Psychological Services charges; any personal checks submitted for payment; or any other financial obligation to the university incurred by the employee.

*For the complete policy see the departmental or college administrator or visit [MAPP 05.03.01](#) website at <http://www.uh.edu/af/universityservices/policies/mapp/05/050301.pdf>.*

### University Financial Policies

University policies related to finance and financial accountability may be found in the Manual of Administrative Policies and Procedures ([MAPP](#)), the UH System Administrative Memoranda ([SAM](#)), and the Board of Regents [Policies](#). The following are summaries of policies governing the use of university funds to carry out the multifaceted roles of faculty and other university personnel. Generally the principle of accountability for state funds guides all financial policies for employees of the State of Texas.

*For additional information visit the [MAPP](#) website at <http://www.uh.edu/af/universityservices/policies/mapp/index.htm>*



## Official Functions and Discretionary Expenditures

The following activities are considered within the normal educational role of faculty and may be paid with university funds: travel and meal expenses at conferences; expenses for student recruitment; expenses (including food) incurred directly in teaching and research activities. Normally the academic unit is responsible for funding these activities; faculty members must seek prior approval for such expenditures. Expenditures on externally funded projects must follow the guidelines established by the funding agency and the Office of Contracts and Grants.

In addition, the University of Houston recognizes the need for funding activities not directly related to the educational process that can be demonstrated to be of clear benefit to the university. In most cases, designated (fund 2) or unrestricted auxiliary (fund 3) funds may be used for official functions or discretionary expenditures. However, designated tuition funds may not be used for any entertainment expenses, except for events that primarily involve students (e.g., commencement, student recruitment, student job fairs, etc.) and for prospective employee business meals. However, any alcoholic beverages purchased for these events, where allowed, may not be charged to designated tuition, and must be charged to another, allowable fund. Payment may be made from gift or sponsored project funds only when allowed by the donor or terms of the contract. State law prohibits expending state (fund 1) funds for entertainment expenses, alcoholic beverages, gifts, or service awards costing over \$100.

The University of Houston allows the following official functions and discretionary expenditures subject to the provisions of [SAM 03.A.02](#) and [MAPP 05.02.02](#):

- A. Expenses for recruiting new faculty or entertaining official guests of the university;
- B. Conferences, 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/3FiscalAffairs/3A2.pdf> or [MAPP 05.02.02](#) website at <http://www.uh.edu/af/universityservices/policies/mapp/05/050202.pdf>.*



## Debarment and Suspension

In accordance with Executive Order 12549, issued February 18, 1986, the University of Houston, along with other recipients of federal funds, participates in a government-wide system for certification of eligibility. The university certifies that it and its principals (defined as officers, owners, principal investigators, key employees, and others with primary management or supervisory responsibilities)

- A. Are not presently debarred or suspended, proposed for debarment, or excluded in any fashion from receiving federal funds;
- B. Have not within a three-year period been convicted of or had a civil judgment rendered against them for commission of a variety of criminal acts;
- C. Are not presently under indictment or otherwise charged criminally or civilly with commission of a series of offenses itemized in the executive order.

To implement the requirements of this executive order each person defined as a principal must notify the Office of Contracts and Grants if s/he meets the definitions enumerated above.

*The full policy and executive order are available from the Office of Contracts and Grants, 713-743-9222, or visit the website at <http://www.uh.edu/research/sponsored-projects/proc-pol-guide/debarment-suspension/>.*

## University Employee Governmental Appearances

(UHS Board of Regents [Policy 81.01](#))

All university employees appearing before Congress; the Texas Legislature, City, County, or other governmental body, or their agencies, committees, or members to offer testimony, opinions, or commentary in regard to existing or potential laws, rules, or regulations, not expressly authorized to do so by the Board or the Chancellor/President, must clearly state in advance that they are appearing in their individual capacities and that their testimony, opinions, and commentary are not authorized by, and must not be construed as reflecting on the position of the System.

## Approval of Advertising and Public Relations Services

All university advertising (except personnel recruiting) and public relations services, including all printed items with any University of Houston logo, logotype, or trademark, that are to be paid for by local or state University of Houston funds must be approved by the Division of Marketing, Communication and Media Relations before being processed by the Purchasing Department. See the process at <http://www.uh.edu/policies/graphic-standards/brand-review/>. Advertising to fill a vacant faculty position must be routed through the Office of Equal Opportunity Services. All vacant staff position advertising must be routed through the Human Resources Department.

## Printing Policy

All offset printing services costing more than \$1,000 when state funds are used or costing more than \$5,000 when local funds are used must be obtained from either the University Printing Department or through a competitive bidding process. Offset printing is a process of producing material by means of inked type on a press that uses plates. It does not include digital printing or copying.

*For details of the policy, see MAPP policy 04-01-03 section VII letter M at <http://www.uh.edu/af/universyservices/policies/mapp/04/040103.pdf>.*

## University Names and Indicia

The names, logos, trademarks, and other identifying marks of the Board, the System, and the component universities are protected by copyright and cannot be used without the express approval of the Board or its designated representative.

See UHS Board of Regents [Policy 09.02](http://www.uhsa.uh.edu/board-of-regents/policies/index.php) at <http://www.uhsa.uh.edu/board-of-regents/policies/index.php>.

### University Names

The official name of this university is the University of Houston. All first references in any publication and in the titles of all publications should consist of the complete name: University of Houston. The abbreviation for the name of this university is UH. It may be used as a second reference or by itself.

The University of Houston is one of four universities in the University of Houston System. The other three universities are:

University of Houston-Clear Lake, an upper-division and master's level institution;

University of Houston-Downtown, a four-year undergraduate and master's level institution; and

University of Houston-Victoria, a four-year undergraduate and master's level institution.

### University Seal

According to historical accounts, the seal is the coat of arms of General Sam Houston. The seal was adopted for use by the university in 1938 in conjunction with construction of the new UH campus.

The seal is an official, trademarked symbol of the University of Houston. It is not to be used interchangeably with the UH logo.

The seal is reserved for academic use only by the Board of Regents, Office of the Chancellor/President and the Provost's Office. Other uses must be approved by the Vice Chancellor and Vice President for Marketing, Communication and Media Relations, 713-743-0945.

### University Logo

The University of Houston wordmark logo should be prominently displayed on all advertising, general publications, annual reports, magazines, newsletters, stationery and business cards, signage, and souvenir items, if pre-approved by the appropriate office (see Approval of Advertising and Public Relations Services above).

The University of Houston wordmark logo and interlocking UH logo may be used by any university office for university publications or activities. Offices not affiliated with the Board of Regents, Office of the Chancellor/President or Provost's Office may use the University of Houston seal only with written permission from the Vice Chancellor and Vice President for Marketing, Communication and Media Relations, 713-743-0945.

### No Guns on Campus

The University of Houston does not allow weapons on campus. This policy includes persons who are authorized to carry concealed weapons under Texas law. The University follows state law regarding this prohibition, as established in Texas Penal Code § 46.03 and related sections. UH

police should be notified immediately if a determination is made that someone is carrying a weapon on campus. Starting on September 1, 2016 this policy will be modified to comply with state law.

## **Violence on Campus**

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. 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.

For additional information visit [MAPP 02.04.04](http://www.uh.edu/af/universityservices/policies/mapp/02/020404.pdf) at <http://www.uh.edu/af/universityservices/policies/mapp/02/020404.pdf>

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

An individual who becomes aware of a potential emergency, should contact the UH Police Department (UHDPS) at 713-743-3333. To report an emergency, call 911.

For information during a campus emergency call:

UH *OnCall* at 713-743-2255; or

Central UH directory assistance at 713-743-1000 during business hours.

Go to the UH Emergency Website at <http://www.piersystem.com/go/site/1093>

Differing procedures will be followed depending on whether an emergency is:

a campus-wide emergency, such as hurricanes, tornadoes, or flooding;

a localized campus emergency, such as specific bomb threats, fires, chemical releases, and explosions; or

a non-emergency operational problem, such as broken or frozen water pipes, building damage, and electrical outages.

These procedures are described in [MAPP 06.01.01](#).

The Chancellor/President, or his/her designee, will issue relevant directions and orders in response to an emergency. Unless a situation is deemed to be immediately life-threatening, the only person who may order an evacuation of a building or the closing of the campus is the Chancellor/President or his/her designee.

The conditions under which classes may be canceled are described in the above referenced MAPP. In particular, the cancellations must be authorized by the Provost, or his/her designee. Employees are expected to continue their usual activities unless explicitly notified otherwise. The latest information will be available at UH OnCall or from the university web-page at <http://www.uh.edu/>.

For additional information visit the [MAPP 06.01.01](http://www.uh.edu/af/universityservices/policies/mapp/06/060101.pdf) website at <http://www.uh.edu/af/universityservices/policies/mapp/06/060101.pdf>.

# **Benefits**

## **Compensation**

### **Direct Payroll Deposit**

(UHS Administrative Memorandum 03.D.07)

Salary payments will be initiated through direct deposit to the faculty member's bank account or another method of electronic funds transfer such as by paycard.

### **Salary Increments for Faculty**

Faculty may receive salary increments on an annual basis, subject to the availability of funds appropriated by the Texas Legislature unless otherwise mandated by the State or Board of Regents. Increments shall be awarded on the basis of merit as determined in the annual performance evaluation of each faculty member. Faculty are evaluated in all three of the principal areas of faculty activity: teaching, scholarship and creative activity, and university and community service. The criteria applied in the evaluation process will vary from college to college according to their different missions.

### **Faculty Administrators**

#### **University of Houston System Guidelines on Academic Administrative Salaries**

All members of the faculty who serve on twelve-month administrative appointments in positions at or above the level of dean or its equivalent for a period of at least one year shall return at the conclusion of the administrative assignment to their respective faculty ranks on a nine-month academic appointment with the salary base as determined by existing contract or current Board of Regents policy. This does not include persons serving in acting positions.

Each college determines its own compensation policy for administrators below the level of dean subject to the approval of the Provost. The university policy stipulates the conditions under which such administrators return to the faculty. The university compensation policy is subject to the approval of the Chancellor/President.

#### **Administrative Stipends Attached to Specific Offices**

In recognition of additional responsibilities and the more comprehensive time commitment required for some administrative offices, an administrative stipend may be provided where appropriate. This stipend is assigned to the office; it is not a part of the base salary of the person holding the office, and it will be relinquished when the individual leaves the office. For persons appointed from the outside, the initial negotiation should include all aspects of compensation.

### **Additional Compensation Policy for Faculty**

It is the policy of the University of Houston not to provide additional compensation over and above 100% FTE to faculty except in unusual circumstances. 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**

With prior approval of the appropriate Dean and the Provost, faculty on nine month contracts may receive additional compensation beyond their contract level. An equivalent of three months for those on nine month contracts (one month for those on eleven months) may be received in additional compensation if properly approved prior to the activity or activities. Please note that this amount will be reduced by any teaching or regular summer assignment pay. Regular summer assignments do not require approval.

With prior approval of the appropriate Dean and the Provost, faculty who have received the equivalent of their twelve month salary in total university compensation, and faculty on twelve month contracts, may receive extra additional compensation beyond the level specified in the paragraph above. Extra compensation so received in both instances cannot exceed \$15,000 or 20% of the twelve month salary, whichever is greater, in a fiscal year.

For those service and research awards and chair stipends approved and on file in the Provost's office, no additional compensation forms are necessary. Further, a form is not required for participation as a human subject in an approved protocol.

Faculty who are on less than a twelve month contract may do research and be paid from research funds during the time not covered by that faculty member's contract. Compensation shall be at the faculty member's contract rate. An additional compensation form is not necessary in this instance.

The requesting department is responsible for initiating the Request for Additional Compensation form. The faculty member is responsible for verifying that the form is completed (with required signatures) prior to beginning the activity for which additional compensation will be received. Both the faculty member and the college/division administrator are responsible for monitoring the total amount of additional compensation received during the fiscal year and for ensuring that it does not exceed the maximum limit as set forth in the second paragraph under Amount of Additional Compensation.

Exceptions to this policy may only be made for very compelling reasons and in unusual cases.

*For more information or approval forms, call the unit administrator.*

## **Graduate Work by Faculty**

The University of Houston encourages the professional development of its faculty. There are, however, institutional, professional, and academic concerns involved when faculty members teach other faculty members on campus. These concerns include competition, conflict of interest, and restriction on freedom of academic and administrative decisions. In view of these possible concerns, the following policies have been developed:

- A. A faculty member wishing to take an individual course when such a course is not part of his/her specific degree program should secure the prior permission of the instructor.
- B. Full-time faculty and members of the professional staff may pursue course work toward the attainment of a graduate degree at the University of Houston only with the recommendation of the deans involved and the approval of the chief academic officer.
- C. As a general rule, full-time faculty members at the rank of assistant professor or higher will not be admitted to any doctoral program in this institution.
- D. Individuals seeking exception to these policies shall secure supervisory concurrence through channels normally used for the approval of personnel recommendations. All requests for exceptions to this policy must be referred finally to the Office of the Provost.
- E. Interpretations of this policy shall be made by the Office of the Provost at the request of the faculty member's dean.

## **Insurance**

### **Group Insurance Plans–Texas Employees Uniform Group Insurance Program**

(Administered by the Employees Retirement System of Texas)

The following insurance programs are available to faculty who have appointments of one-half time or more for a period of 4.5 months or more at the university or who meet insurance eligibility criteria defined by the Affordable Care Act (ACA).

### **Overview of Group Benefit Options**

The ERS benefits program includes a basic level of benefits for each eligible employee. This includes employee medical coverage and term life and accidental death and dismemberment insurance.

*See Human Resources Customer Service Center, 713-743-3988 for coverage options or visit the website at <http://www.uh.edu/human-resources/benefits/>.*

### **Eligibility**

Employees are eligible to participate in the ERS group benefits program and TexFlex if:

- A. They are higher education employees who are eligible to participate in the Teacher Retirement System or the Optional Retirement Program, or
- B. They are ineligible to participate in the Teacher Retirement System but are graduate students at an institution of higher education, and are employed at the institution of higher education at least 20 hours per week or one-half the standard faculty workload, and the employment is intended to be for more than 4.5 months or a full semester of more than four months, or
- C. They meet insurance eligibility criteria defined by the Affordable Care Act (ACA), or
- D. They are retired and eligible to receive retirement benefits under either the Teacher Retirement System or the Optional Retirement Program, or
- E. They are members of an institution of higher education's Board of Regents who have been appointed subject to Senate confirmation.

Family members eligible for optional dependent coverage include the employee's spouse and unmarried and married children under the age of 26 for health insurance; children under the age of 26 and unmarried for dental insurance and Dependent Term Life Insurance. The employee cannot have double coverage through the state system. For example, he or she cannot be covered as both an employee and a dependent or as an employee and a retiree.

### **State Contributions**

The state contributes group insurance credits toward the payment of medical insurance premiums for each approved state medical plan. Information on the amount of state credit per plan may be obtained from the Benefits section of the Human Resources Department.

Faculty on a term basis of nine months or a spring semester appointment of 4.5 months continue medical coverage through the summer months by paying summer premiums equaling 2.5 times the regular premiums in April and May to cover premium payments during the months of June, July, and August.



*For additional information: Employee Benefits, Human Resources Customer Service Center, 713-743-3988, or visit the website at <http://www.uh.edu/human-resources/benefits/>.*

### **Affordable Care Act (ACA)**

A University of Houston System (UHS) employee is typically eligible for medical insurance coverage if the combined hours of all jobs worked, regardless of UH campus, is an average of 30 hours per week or more during a 12-month period. Some jobs such as tenured or tenure-track faculty are always benefits-eligible. Other jobs, such as Adjuncts and some Lecturers, may or may not be insurance-eligible, depending on the number of hours worked. For these individuals, all paid hours will be combined and divided by the number of weeks worked to determine the average.

Employees with multiple jobs, whether on the same campus or across multiple UH campuses, may become eligible on the basis of the combined hours worked for all jobs. For adjuncts and lecturers, each credit hour equates to 2.7 hours worked. Multiple job records will be combined to determine if an adjunct or lecturer is averaging 30+ hours per week.

Existing employees deemed ACA eligible will be notified that they have 60 days from their eligibility date to elect benefits. If the employee elects coverage, the benefits are active until the end of the following August, regardless of changes in employee hours or status. Eligibility will be recalculated each year.

*For additional information, please contact the Human Resources Customer Service Center, 713-743-3988 or visit the website at <http://www.uhsystem.edu/uhsa/hr/aca/index>.*

### **Travel Insurance**

Travel Life Insurance is not currently provided for University employees.

*For additional information call the unit administrator.*

### **Workers' Compensation**

A faculty member who sustains an injury or occupational disease in the course and scope of employment is entitled to receive compensation under the State Workers' Compensation System. The determination of compensability is made by the State Office of Risk Management (SORM), who administers the university's workers' compensation program. The University's Risk Management department acts as a liaison between the injured faculty member and SORM.

*\*For additional information call the unit administrator or Risk Management, 713-743-0414 or visit the website at <http://www.uh.edu/af/riskmanagement/workerscomp.htm>*

### **Liability**

Texas Tort Claims Act and Texas Practices and Remedies Code (Chapter 101 and Chapter 104), provide to state employees certain protection from personal liability for their negligent acts or omissions when acting in the course and scope of their employment with the university. Chapter 101 pertains primarily to incidents arising from the operation of motor vehicles and with conditions or use of tangible personal or real property; Chapter 104 provides indemnification for state employees for acts and omissions in the course and scope of employment of up to \$100,000 per person and \$300,000 per occurrence of personal injury, death, or deprivation of a right, privilege, or immunity; and up to \$10,000 per occurrence of property damage. Under chapter 101, the state may be subject to liability for the negligence of an employee to a limit of \$250,000 per person and

\$500,000 for a single occurrence for personal injury or death and \$100,000 for each occurrence of property damage. The Office of the Attorney General of Texas provides the legal defense in such cases, and should an incident occur where litigation is threatened or commenced against an employee of the university, such employee should immediately consult the University of Houston System General Counsel.

## **Vacation Policies**

### **Vacation Accruals for Faculty on Twelve-Month Appointments**

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 or transferring to a new twelve-month appointment. It is the responsibility of the administrator to whom the faculty member reports to see that the accumulated vacation time is used prior to the time the faculty member leaves the twelve-month position.

Vacation time shall be taken in its normal form except where doing so would pose serious administrative problems for the department. 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.

### **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.

## **Retirement**

Retirement is available to any faculty member at age 65 with a minimum of five years of participation in one of the university's retirement programs. Early retirement with reduced benefits, which may include health, dental, and life insurance, is available at age 55 with a minimum of five years participation in one of the university's retirement programs.

*For additional information: Human Resources Customer Service Center, 713-743-3988 or visit the website at <http://www.uh.edu/human-resources/benefits/retirement/>.*

### **University of Houston Retirement Plans**

Two types of retirement plans are available to faculty of the University of Houston: the Teacher Retirement System (TRS) and the Optional Retirement Program (ORP). Participation in a retirement program is a mandatory condition of employment established by state regulations for all faculty appointed one-half time or more for one semester (4.5 months) or longer.

Each faculty member's contribution to TRS or ORP is a percentage of his/her gross salary. The contribution by the State of Texas is made at a rate determined by the legislature. The data on these contributions can be obtained from the University Benefits Office.

*Detailed information regarding both plans is available in the Human Resources Customer Service Center, 713-743-3988, or visit its website at <http://www.uh.edu/human-resources/benefits/retirement/>.*

### **Teacher Retirement System**

TRS is a defined-benefits plan that provides retirement benefits based on length of service and salary level. It is tax-deferred (effective January 1, 1988), has a five-year vesting period (effective September 1, 1989), and offers both disability and death benefits. The program is administered by the Teacher Retirement System of Texas.

### **Optional Retirement Program**

ORP is available only to faculty appointed on a full-time (100 percent FTE) basis for one semester (4.5 months) or longer, and to some professional staff, as specified by state law, who are also appointed on a full-time (100 percent FTE) basis. Retirement benefits are based on fund accumulation. Individual contributions are tax deferred, and state contributions are vested after one year and one day of participation in the plan. ORP does not include disability or death benefits. Approved plans are available from insurance or annuity companies and other providers qualified and admitted to do business in Texas and approved by the University of Houston. A list of approved providers and agents is available in the Employee Benefits Office (Human Resources Customer Service Center, 713-743-3988).

### **Tax-Deferred Annuities and Tax-Deferred Compensation**

Faculty of the University of Houston may voluntarily purchase tax-deferred annuities with a portion of their salary. A specified amount, not to exceed a liberal exclusion allowance, will be withheld from the faculty member's salary for retirement and is not taxed currently as income to the faculty member. These contributions are deposited with an approved company of the faculty member's selection.

In addition to the Tax-Deferred Annuity Program, faculty may enroll in the State of Texas Tax-Deferred Compensation Plan, which also enables them to defer tax on salary.

*For details on plans and carriers, see Human Resources Customer Service Center, 713-743-3988 or visit their website at <http://www.uh.edu/human-resources/benefits/retirement/supplemental-retirement/>.*

## **Social Security**

As an employer, the University of Houston complies with the relevant provisions of the Social Security Act. All faculty are required to participate in the Federal Social Security program as a condition of employment.

# Services

## Counseling and Psychological Services

All currently enrolled students at the University of Houston are eligible for a variety of services at CAPS. UH staff and faculty may schedule an initial consultation to receive a referral for on-going treatment. An appointment usually requires 90 minutes, including time to complete paperwork.

Referral may be for CAPS services or to other campus and community agencies. All appointments are made on a same-day basis. If an individual is in crisis he/she may contact CAPS and ask to speak with the Consultant on Duty.

**In case of imminent danger, call 911. After hours crisis resources for students: MHMRA at 713-970-7000, Crisis Intervention of Houston at 713-468-5463 and UH Department of Public Safety at 713-743-3333.**

*Counseling and Psychological Services is located in 226 Student Service Center 1. For more information, please call: Counseling and Psychological Services, 713-743-5454 or visit the website at <http://www.caps.uh.edu/>.*

## Psychological Research and Services Center

The University of Houston Psychological Research and Services Center (UHPRSC) offers psychological services to University of Houston faculty and staff members and their families as well as members of the community. The center is staffed by clinical psychology doctoral students and faculty from the Department of Psychology. The UHPRSC is a training facility offering treatment for anxiety, panic, depression, and personality disorders as well as adjustment problems related to sexual abuse, marital discord, divorce, and general life difficulties. Individual, couple, family, and group treatment approaches are included with emphasis on the most recent developments in psychotherapy.

The UHPRSC is located at the South Office Annex on Cullen Boulevard, Entrance 10. *For additional information: Psychological Research and Services Center, 713-743-8600 or visit the website at <http://www.uh.edu/prsc/>*

## University Career Services

The following services are coordinated by University Career Services: career counseling and advising; JOBank; workshop series; internships; resume services; campus recruitment; vocational assessments; alumni career services; career fairs; and a career resource library.

UH faculty and staff may access the UCS website (<http://www.career.uh.edu>) to post a job, review job postings, download handouts, and more by using the following User Name and Password: last name and the last three digits of the UH employee number (use for both User Name and Password).

*For more information contact University Career Services, room 106 Student Service Center, at 713-743-5100, by fax at 713-743-5111, or visit their website at <http://www.career.uh.edu/>.*

## **Child Care and Child Educational Services**

### **Children's Learning Center**

The University of Houston Children's Learning Center provides a nationally accredited early childhood program for children of University of Houston students, faculty, and staff. There are two convenient locations on campus serving children ages three months to five years.

The center is open from 7:00 a.m. until 6:00 p.m. Interested parents should inquire about enrollment/wait list at the earliest possible date. Center tours are available by appointment.

*For additional information call: the Children's Learning Center at 832-842-0500, Fax 713-743-5489, email [center@mail.uh.edu](mailto:center@mail.uh.edu), or visit the website at <http://www.uh.edu/clc/>.*

### **University of Houston Charter School**

The University of Houston Charter School (UHCS) is a public school covering grades K-5. It is sponsored by the University of Houston and has a constructivist educational approach. The six multi-age classes are housed in Melcher Gymnasium. UHCS collaborates with faculty research and educational activities.

*For additional information call: the University of Houston Charter School, 713-743-9111 or visit its website at <http://www.uh.edu/charterschool>.*

## Health Services

### University Health Center and Pharmacy

University of Houston students, faculty and staff members are able to receive general patient services at the UH Health Center. Services in the General Medicine Clinic are offered on a first come, first served basis at a reasonable cost. Dental Services are available by appointment to faculty and staff. The Health Center Pharmacy is able to fill prescriptions for students, faculty and staff members. The benefit of receiving medical care on campus is desirable because of convenience and quality of care.

The Health Center does not file on faculty and staff health insurance plans. Payment for services is required at the time of service. A statement suitable for claim submission provided upon request.

The University of Houston Health Center is accredited by the Accreditation Association for Ambulatory Health Care (AAAHC).

*For additional information call: UH Health Center, 713-743-5151, or visit the website at <http://www.uh.edu/healthcenter>.*

### University Eye Institute

The University Eye Institute offers services that range from comprehensive vision examinations to the medical and surgical management of eye disorders. The Institute's nationally renowned vision professionals use advanced diagnostic instruments in over 80 exam rooms and 30 specialized testing areas, which means that patients can be assured of the best possible care, utilizing the latest in vision technology. These services are available to students, faculty and staff members.

A wide range of vision care is available. Specialties include the Family Practice Service, Ocular Diagnostic and Medical Eye Service, Cornea and Contact Lens Service, Dry Eye Center, Vision Rehabilitation (Center for Sight Enhancement), Neuro-Optometric Rehabilitation, Multiple Sclerosis Eye Care Service, Sports Vision, Color Vision, and Pediatrics. The Essilor University Optical Service provides professional fittings for prescription eyewear and sunglasses and features an extensive selection of budget frames as well as large collection of designer frames. The College also has an ambulatory surgery center for cataract and other eye surgeries as well as a laser and refractive surgery center for laser vision correction.

The University Eye Institute is located at 4901 Calhoun, UH Entrance 2, in the J. Davis Armistead Building. *For general information, please call 713-743-EYES (3937). For appointments and additional information: University Eye Institute, 713-743-2020, or visit the website at <http://www.uei.uh.edu/>*

### University Speech, Language, and Hearing Clinic

The University Speech, Language and Hearing Clinic, a United Way agency, is the on-campus training facility for graduate students in the Department of Communication Sciences and Disorders who are working toward the Certificate of Clinical Competence in Speech-Language Pathology. Evaluation and treatment sessions are conducted by graduate students under the direct supervision of faculty and staff certified by the American Speech-Language-Hearing Association. The clinic serves the entire Houston community and offers a sliding fee for those who qualify.



The various communication problems evaluated and treated at the clinic include speech production, language disorders, voice, stuttering, apraxia of speech, aphasia, speech/language difficulties associated with hearing impairment, pragmatic and social communication disorders, cognitive communication deficits, and communication challenges stemming from other medical etiologies. In addition, group and individual services are available for foreign-born individuals who wish to refine their pronunciation of English for career and social interaction purposes.

Hearing evaluations are conducted and a referral is made for a hearing aid evaluation if indicated. Hearing aid fittings, follow up and consultation regarding assistive listening devices are also provided at the USLHC.

*For appointments and additional information call the USLHC, 713-743-0915 or visit the website at <http://www.class.uh.edu/comd/uslh/>.*

## **Financial and Other Services**

### **Copy Services**

The University Copy Center is a full service copying, printing and shipping store. Services include: postal services (UPS, FedEx, USPS); large format poster, sign, banner printing; course packs and more. The University Copy Center is located in the Welcome Center Parking Garage, first floor, suite 170.

*For more information call 713-741-5200 or visit <http://www.truecolorgraphics.com/>*

### **Cougar Card**

The Cougar Card is the official picture identification card for the University of Houston. Faculty should obtain a card and carry it at all times for identification purposes. It may be used to secure library privileges, to purchase tickets for recreational and athletic events, to ride Cougar Line Shuttle buses, to make discount purchases at the bookstore, and to access emergency health services and discounted services at the Optometry Clinic. In addition, faculty can access the \$7.50 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 the Cougar Card Office, located in the Welcome Center Parking Garage, Suite 151. 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/>*

### **Financial Institution**

A TDECU branch is located in the Student Center South Room 144. The hours of operation are 9:00 a.m. to 5:00 p.m., Monday through Friday. TDECU ATMs are located at Student Center South, Student Center Satellite, Moody Towers, the Campus Recreation & Wellness Center and TDECU Stadium.

*For more information on services, call TDECU at U of H, 1-800-839-1154, or visit the website at <https://www.tdecu.org/>.*

### **ATMs**

Various ATMs are located throughout the campus in Bates Law Center, the College of Technology, the College of Engineering, the Welcome Center, M.D. Anderson Library, the Student Center South and the Student Center Satellite.

### **Notary Service**

Notary service is available to the public Monday through Friday between the hours of 8:00 a.m. and 5:00 p.m. in the Student Center Office, located in room 271 in the Student Center. The signer must personally present a current, valid picture identification for each notarization. There is a charge for each document that requires notarization.

*For more information, call the Student Center Office, 832-842-6260.*

## **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.

### **Faculty/Staff Permits**

Parking permits are available online through Parking Self-Service in AccessUH. Permits are typically made available for purchase in April for the upcoming academic year, and are mailed in early August to the address chosen during registration. Faculty and staff members may renew their current permit level each year. Faculty and staff members wishing to change to a gated or reserved permit will need to purchase an ungated permit and add themselves to the desired lot's waiting list.

### **Citations/Appeals**

Citation payments can be made online, or at the Welcome Center Parking Services Desk. Violations V01 through V05 are discounted if paid within 48 hours of being issued. Citation fines double after 21 days; therefore faculty and staff members are encouraged to take care of any parking citations in a timely manner. Citations can be appealed online before the 21 day deadline. A complete listing of parking rules and regulations is available on the parking website (<http://www.uh.edu/parking>).

### **Shuttle Services**

The University of Houston offers a modern fleet of buses that service the University of Houston campus, the Energy Research Park and Metro's Eastwood Transit Center. This service is provided at no cost to riders. The buses are equipped with CougarTrax to provide real-time arrival predictions. To see when the next bus will arrive at your stop visit the parking website and learn how to access the system via a PC's web browser or by phone. For more information about routes and hours of operation visit the parking website (<http://www.uh.edu/parking>) or call the Customer Service Center at 832-842-1097.

### **Metro Services/Metro Q-Card**

In addition to the Eastwood Transit Center, several Metro bus routes service the campus. Metro offers a "Trip Planner" on their website which provides assistance with planning a route between two addresses. For more information visit the website at <http://www.ridemetro.org>.

Parking and Transportation Services is located in room 112 of the Welcome Center Garage. *For more information concerning campus parking, call: Parking and Transportation 832-842-1097, or visit the website at <http://www.uh.edu/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.

When requesting service for facility needs or repairs, it is important to have the following information ready to share with the service center representative: department name; building name; room number where the problem is located; a contact name, phone number, and email address; and a description of the work needed that is clear and concise including the exact location and any specific and relevant information.

To obtain keys to building offices, complete the key request form at <http://www.uh.edu/plantops/services/access-control-shop/online-key-forms/Key%20Request%20Form.pdf>

Facilities Management works to ensure a quality environment for students, faculty, staff and visitors in support of the university's mission of teaching, research and community service.

### **Facilities, Planning and Construction**

The Facilities Planning and Construction department (FPC) is responsible for oversight of all capital renovations, additions, alterations and new construction for all of the University of Houston system campuses. In achievement of this responsibility, the department offers development, design and construction services in accordance with University of Houston Campus Design Guidelines and Standards, and the Campus Facility Master Plans.

Since design and construction services fall under FPC, they are also the department responsible for keeping everyone posted on the latest project and construction work updates. Important notices will be posted at [www.uh.edu/plantops/news-events/index.php](http://www.uh.edu/plantops/news-events/index.php).

### **University of Houston Department of Public Safety**

The University of Houston Department of Public Safety (UHDPS) is a multiservice organization whose mission is to ensure the safety and security of persons and property at the University of Houston in a manner which enhances the intellectual and educational atmosphere of the university. The UHDPS is comprised of five separate divisions: Police, Security, Parking Enforcement, Environmental Health and Safety and Fire and Physical Safety.

### **Contacting UHDPS and Informational Resources:**

*For emergencies, call: ext. 911; for all non-emergencies, call: 713-743-0600. Please visit the UHDPS website at <http://www.uh.edu/admin/police/> for information on police and security services offered to the UH Community.*

### **Emergency Management**

*Information on emergency management as well as the university's Emergency Management Plan can be found online at <http://www.uh.edu/emergency/>.*

## University of Houston Police

### Texas Higher Education Code

#### A. *University Peace Officers* (51.203a)

The governing boards of each state institution of higher education and public technical institute may employ and commission peace officers for the purpose of carrying out the provisions of this sub-chapter. The primary jurisdiction of a peace officer commissioned under this section includes all counties in which property is owned, leased, rented, or otherwise under the control of the institution of higher education or public technical institute that employs the peace officer.

#### B. *Unauthorized Person: Refusal of Entry, Ejection, and Identification* (51.209)

The governing board of a state institution of higher education or its authorized representative may refuse to allow persons having no legitimate business to enter on property under the board's control, and may eject any undesirable person from the property on his refusal to leave peaceably on request. Identification may be required of any person on the property.

The department's officers are commissioned by the Board of Regents; and licensed as peace officers through the state of Texas after receiving state-certified training in the duties and responsibilities of a Texas peace officer. Under state law the officers are empowered by the Regents to stop any person on campus for the purpose of obtaining identification; persons without legitimate business on campus will be required to leave.

In addition to traditional police services, the department offers crime prevention workshops, on-campus escorts (713-743-3333), and [motorist assistance](#) (713-743-5849).

The philosophical focus of the department is the belief that only through police and community teamwork can the university be made safe and secure for everyone. Emergency/Information call boxes and telephones are located throughout the university to provide citizens with direct, immediate access to the services of their police officers. The department has also initiated an extensive closed circuit camera system across the campus to enhance safety on the campus.

### Requests for Police Services during Special Events

Individuals or organizations desiring to host special events on campus that require police services must utilize University of Houston Department of Public Safety police officers. Such *requests must be scheduled 14 calendar days in advance*. For additional information, call Student Center Reservations or the University of Houston Police Department's Special Events section.

Under unique circumstances, and with the permission of the Chief of Police, visiting dignitaries will be allowed to have special police present.

### Criminal Investigations

Should a criminal law be violated on campus, UHDPS will normally handle the investigation. During the course of a criminal investigation, UH Police Officers may need to serve a warrant, arrest or question a UH student, faculty, or staff member. Should this happen during normal business hours, UH Police Officers will make arrangements with the individual's immediate supervisor or with the faculty member for the meeting to take place in a manner that causes the individual the least embarrassment and does not interrupt either the work place or classroom.

## Safety and Security Committee

The University of Houston Safety and Security Committee is a standing committee that works directly with the Assistant Vice President for Public Safety and Chief of Police to carry out its charge of advising university administration on campus activities and conditions that might affect the physical safety of students, faculty, staff and visitors to the campus. It has responsibility for safety in all areas not specifically delegated to one of the other committees named above.

## Parking Enforcement

The Parking Enforcement Division of the Department of Public Safety handles pedestrian and vehicular traffic management on campus streets and parking lots. This is traditionally done through enforcement efforts geared towards gaining community compliance with parking regulations, Parking Enforcement personnel also respond to requests for motorist assistance for vehicles with dead batteries, keys locked in vehicles and vehicles with flat tires.

## Fire Marshal's Office

The Fire Marshal's Office (FMO) Division of the Department of Public Safety is concerned with the safety of the entire campus; every individual and building falls under the responsibilities of this program. FMO areas of responsibility range from requirements mandated by the State of Texas through the National Fire Prevention Codes to compliance training and inspection issues associated with providing a workplace free from the hazards associated with physical safety issues. FMO provides support to the various building maintenance departments, Facilities Planning and Construction, Capital Renewal and Deferred Maintenance, and to the campus community as a whole.

- A. **Fire and Life Safety Standards:** The university is mandated by the State of Texas in the Texas Government Code, Article 417.008 and the Texas Administrative Code Title 28, Chapter 34-301-34.304 to follow the National Fire Protection Association (NFPA) Life Safety Code 101. The Life Safety Code addresses the construction, protection, and occupancy features necessary to minimize danger to life from fire, including smoke, fumes or panic. In addition to the requirements of the Life Safety Code, the university has established a Fire and Life Code for addressing the aforementioned issues along with everyday workplace practice issues. [MAPP 07.02.01](#) (Fire and Life Safety Code) establishes fundamental fire prevention requirements and adopts the NFPA 1 Uniform Fire Code by reference.
- B. **Inspections:** FMO personnel assist departmental supervisory personnel in carrying out their responsibility to maintain working conditions and facilities that are safe from fire and physical hazards. FMO accomplishes this by focusing its resources in several inspection functions. These functions include: inspecting and servicing all fire extinguishers located throughout campus; inspecting and testing all fire hose cabinets and oversight of the inspections and testing of all water-based fire protection equipment on campus; acceptance inspections and testing of all fire and life safety systems installed on campus; inspecting all campus facilities for fire and life safety hazards; inspection of all food service facilities; and assisting all impacted departments in developing plans of actions to correct deficiencies identified by the State Fire Marshal in a timely fashion.
- C. **Additional FMO Functions:** FMO further insures fire and life safety through a number of programs which include conducting fire and life safety plan review for renovations and construction projects, providing fire and life safety training to faculty, students and staff, and

conducting fire drills in the Residential Life, Charter School and Children's Learning Center facilities on a routine basis.

*For information on Fire and Life Safety, please visit the website at <http://www.uh.edu/fire/index.html>.*



## Academic Support

### Use of State Property

It is the policy of the University of Houston System that any employee, entrusted with state property, is to use such property only for state purposes. This includes any physical property or information that is university property. Violation of this policy is cause for disciplinary action, up to and including dismissal.

Upon termination of employment, all employees must return any state property.

### Removal of State Property from Campus

A request for authority to remove equipment from campus is available from the administrative unit. Property removed under these conditions will be the responsibility of the faculty member, who will be required to reimburse the university an amount equal to the replacement value for any lost, damaged, or stolen equipment.

*For more information call: Unit Administrator or Property Management, 713-743-8758, or visit the website at [http://www.uh.edu/finance/pages/PM\\_Website.htm](http://www.uh.edu/finance/pages/PM_Website.htm).*

### Scheduling of Campus Facilities

The scheduling of facilities for all credit courses and labs and non-academic uses (including any directly related activities) is processed through the respective dean's office. The deans' offices and the Office of Registration and Academic Records coordinate the university's general and special classroom needs and assignments for academic purposes.

The scheduling of most facilities for non-academic campus activities is coordinated by the *Student Center Conference and Reservations Office*, at 832-842-6167 in the Student Center, or visit the website at <http://www.uh.edu/studentcenters/reservations/>. For individual room reservations provided by the University Hilton Hotel call 713-741-2447; for group events at the University Hilton call 713-743-2500 or visit the website at <http://www.hrm.uh.edu/THE-COLLEGE/Our-Hotel/>.

### University Libraries

The University of Houston libraries include: the [M.D. Anderson Library](#) (the main library); the [William R. Jenkins Architecture and Art Library](#); the [O'Quinn Law Center Library](#); the [Music Library](#); and the [Weston A. Pettey Optometry Library](#).

These libraries constitute a premier research facility with collections of more than 2,000,000 volumes, 20,000 journal and other serial subscriptions, as well as large quantities of electronic resources, microforms, manuscripts and archival collections, maps, and other library materials. The recently inaugurated 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.

The M.D. Anderson Library is open more than 100 hours a week. Reference service, available more than 70 hours a week, provides users with assistance in locating information and resources. Subject librarians in all major disciplines offer specialized reference and research assistance, lecture

regularly to classes, and develop the library collections in their subject areas. Over 260 specialized databases are available in the Academic Research Center on the first floor. These databases contain the full text of millions of articles, indexes to help users identify articles and reports, statistics, directories, and many other types of information. Most of the databases are available to UH faculty, students, and staff from their homes or offices. A wireless network within the M.D. Anderson Library provides access to the Internet and online library resources. Over 250 CougarNet workstations are available in the Academic Research Center for general computing needs (word processing, courseware access, etc.).

The Learning Commons, also located on the first floor of the M.D. Anderson library, offers flexible and inviting spaces for both collaborative and individual work, new opportunities for developing presentation projects, enhanced access to sophisticated computing technology and advanced applications, improved options for reserving equipment, and greater responsiveness to technical questions. This facility provides both high-end PCs and Macs equipped with either dual or large-screen monitors. A wide variety of software is available, e.g., Adobe Creative Suite, Apple iLife Suite, Camtasia Studio, Captivate, Visual Studio, Endnote, Mathematica, Matlab, SPSS, and SAS. The UH Libraries' Technology Training Program provides free training to faculty, staff, and students on various software programs. See <http://info.lib.uh.edu/services/library-technology/training> for additional information.

The Libraries offer a large special events facility on the second floor, the Elizabeth D. Rockwell Pavilion. This room may be reserved in advance for events that are sponsored by units of the University of Houston.

The library is a depository for both United States and Texas state documents. Extensive holdings of newspapers on microfilm include complete files of the *London Times*, the *New York Times*, the *Houston Post* and *Chronicle*, and substantial runs of other significant national papers.

Several large sets of research materials are available on microform, such as the Educational Resources Information Center (ERIC) research reports in education, company 10-K and annual reports, and the papers of a number of United States presidents. The Special Collections Department of the library houses rare books, the University Archives, the Women's Archives Research Center, manuscripts of several American authors, including Larry McMurtry, Beverly Lowry, and Fritz Leiber, and substantial collections of rare and historical works, especially in Texas history, Hispanic literature, Houston architecture, and Houston Hip Hop.

An [online library catalog](#) providing information about the collections of the University of Houston Libraries as well as those of the UH Law Library, the UH-Downtown library, and the UH-Clear Lake Library, may be searched from remote sites through the campus network or the Internet. University of Houston faculty, students, and staff may borrow materials from all University of Houston System libraries.

The library extends its collection by participating in a number of resource sharing networks. At a national and international level, the university's membership in the Center for Research Libraries provides shared ownership of more than three million research materials. . The library is also a member of the HathiTrust which provides access to millions of digital items in more than 100 libraries. Online access to the cataloging records of more than 32 million items in 30,000 libraries worldwide is also available through WorldCat. The University of Houston Libraries also participate in the OCLC Reciprocal Faculty Borrowing Program which offers faculty members access to the collections of more than 150 major research libraries. Faculty members may obtain a card for this program from the Service Desk. Traditional collections of books and journals are available through

the TexShare library card program. This allows students, faculty, and staff of the university to borrow items at over 130 libraries statewide.

Faculty and students may borrow materials through these programs and from other research libraries in the United States and abroad by using interlibrary loan services. Additionally, faculty may request photocopies of articles from non-circulating journals, newspapers, or other serials in paper or microform that are owned by the University of Houston Libraries. These photocopies as well as interlibrary loan requests may be placed by using the Iliad interlibrary loan service.

In cooperation with the Houston Public Library, all university libraries are affiliated with the Houston Metropolitan Research Center, which houses a large collection of manuscripts, archives, and photographs pertaining to the city of Houston.

The staff of the libraries welcomes inquiries concerning library programs, resources, and services.

For additional information, visit the website at <http://info.lib.uh.edu/>.

## **Bookstore**

In addition to a full range of textbooks and special interest works in math, engineering, the sciences, and the humanities, the university bookstore stocks popular works of fiction and non-fiction and merchandise in clothing, jewelry, and paper supply areas. Calculators, engineering supplies, notebooks, art boards, inks, paper products, writing instruments, toys, gifts, and sportswear are among the many items available. Faculty receive a 15% discount on merchandise except recommended or required textbooks, special orders, sale books, class and alumni rings, computer software and hardware, periodicals, discounted items, and health and beauty aids when they present their Cougar Card. The UH Bookstore serves the campus from two locations: the Student Center and Calhoun Lofts.

The bookstore offers faculty the opportunity to research and adopt textbooks all in one convenient place through its FacultyEnlight platform. This program allows faculty members to not only adopt certain course materials, but also gives them the chance to read and write peer reviews, compare costs and more.

*For additional information, visit the website at <http://uh.bncollege.com> of the Fan Shop at [www.uhfanshop.com](http://www.uhfanshop.com).*

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

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.

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.

UIT is comprised of four operational units:

*Enterprise Systems (ES)* designs, develops, acquires, implements and maintains UH System-wide administrative computing applications and database management software, including myUH (PeopleSoft).

*High Performance Computing (HPC)* supports a data center facility dedicated to serving researchers who have intensive computational tasks.

*UIT Security* develops security best practices, coordinates security issues, conducts investigations, and works with UIT and other departments to minimize security risks and assure compliance with security policies and procedures.

*Technology Services & Support (TSS)* provides technology solutions to the campus through desktop computing support, the Technology Commons lab, academic technologies such as classroom technology and digital media services, web and communications technologies, network and telephone operations and the Technology Partners Program. TSS coordinates with Enterprise Systems, departmental Technology Managers, and the UH Community to offer cost savings and new technology applications through custom designed software and mobile applications, bulk software and hardware purchases, custom designed multimedia, and the testing of emerging technologies.

## Accessing Resources

### Cougarnet

Cougarnet credentials provide access to AccessUH, Virtual Private Network (VPN), UH Secure Wireless and most public computers. To learn more about Cougarnet accounts, visit <http://uh.edu/infotech/cougarnet/>.

### AccessUH

AccessUH is the gateway to the University of Houston's information and computing resources. Log into AccessUH with CougarNetUserID and password to access to other critical systems. Visit [accessuh.uh.edu](http://accessuh.uh.edu) for additional information.

### Alias

All faculty members are issued a UH email alias “@uh.edu” that points to an email destination mail box. To change an email destination, visit: <http://uh.edu/employee-info-update>.

### Email

An email account is available to all faculty through the University’s email system.

To activate an email account contact the IT Support Center via phone (713-743-1411) or via chat at <http://uh.edu/livechat>.

To access email in a web browser, visit [accessuh.uh.edu](http://accessuh.uh.edu).

### Password Reset

UIT provides a self-service password reset tool at <http://uh.edu/uit/password>.

## Lync

Microsoft Lync is a communications application that provides phone service, instant messaging, desktop videoconferencing and desktop collaboration similar to Go-To Meeting. Lync works in conjunction with Microsoft Exchange to allow faculty to schedule online meetings and desktop videoconferencing with peers both at UH and at other institutions. In addition, voicemail is stored in the Exchange account. For more information on Lync, visit <http://uh.edu/lync>.

## Networks

### Wired

UIT provides complete support of wired network connections on campus from installation to repair. For a new data installation, complete the UIT Telecommunications Work Request at <http://uh.edu/infotech/support-case>. \* Per [MAPP03.01.01](#) Specialized Service Facilities, faculty must also have approval from their College/Division.

### Wireless Access to the UH Network and Internet

UIT offers three options for accessing network and internet resources:

UHWireless is an open and unencrypted wireless connection to the UH network. It requires no log in credentials and is available to guests and visitors. It is therefore not recommended for university business or transferring private information.

UHSecure is a private and encrypted wireless connection to the UH network. It requires Cougarnet credentials to log in. It is the primary wireless access for faculty, staff, and students and is secure for university business and transferring private information.

Eduroam is a wireless network connection that is available at many university campuses around the country. If available, UH faculty visiting other campuses may log into Eduroam with their Cougarnet credentials for a secure connection to the internet. Use of Eduroam is not necessary on the UH campus

Visit <http://uh.edu/wi-fi> for helpful recommendations to improve on-campus wireless computing experience.

## Technology in the Classroom

### Equipment

UIT supports computer and multimedia equipment located in general purpose classrooms. A comprehensive list of available classroom hardware is found at <http://www.uh.edu/infotech/services/facilities-equipment/classrooms/index.php>. Training on classroom equipment is available. Classroom support may be reached at 713-743-1155 or [mdist@uh.edu](mailto:mdist@uh.edu).

### MediaSite Lecture Capture

MediaSite is a lecture-capture system that allows professors and instructors to record everything they say, do and present in their classrooms. Mediasite is available in select classroom throughout the campus. Find out more about MediaSite by visiting <http://www.uh.edu/infotech/mediatiste>.

## UH Blackboard Online Course System

Blackboard Vista is a course system full of tools developed to engage and connect students with their instructor, their material and their peers in an online format. Find out more about UH Blackboard by visiting <http://www.uh.edu/blackboard>

## Resources

### Software

The UIT Software Download page (<http://uh.edu/software>) provides a variety of software at no charge to faculty. Available software includes Mathematica, Microsoft Office, McAfee Virus Scan, OS X, and more. CougarNet account credentials are required.

The Cougar Byte, located in the Student Center, offers discounted software for UH faculty including Adobe products and more. Visit <http://www.cougarbyte.com> for more information.

### Microsoft Office for Home Use

Faculty may download Microsoft Office for up to five personal devices through Microsoft Office 365 <https://login.microsoftonline.com/>. Instructions may be found at <http://uh.edu/infotech/services/office365/office-pro-plus/index.php>.

### SkillPort eLearning

SkillPort eLearning provides web-based, self-paced courses at no cost to UH faculty. Over 2,800 courses covering both business and technology skills are available, along with online access to more than 7,500 unabridged business and IT books and mentoring. Subjects include communications, customer service, finance and accounting, leadership, management, marketing, team building, and technology among others. To access Skillport eLearning, visit <accessuh.uh.edu>.

### IT Support Center Help Desk

The Help Desk provides live phone and email support on computing and related issues. Walk-up support is located in the Technology Commons (Room 58, M. D. Anderson Library).

Hours of Operation: 8:00 a.m. – 8:00 p.m.

For more information, call 713-743-1411, email [support@uh.edu](mailto:support@uh.edu) or visit the Live Chat website at <http://www.uh.edu/infotech>.

### IT Security

UIT Security is responsible for developing policies and best practices, coordinating security issues, conducting investigations and working within UIT and other campus departments to minimize security risks and assure compliance with security policies and procedures. UIT Security is also available to assist faculty members in assuring the confidentiality of information resources.

The Information Technology section of the UH Manual of Administrative Policies and Procedures contains policies to assure compliance with state and federal information security requirements, such as the Texas Administrative Code, Title 1, Chapter 202 (TAC



202) Information Security Standards, and the Family Educational Rights and Privacy Act (FERPA). Faculty members are required to comply with these policies.

Each college has an appointed Information Security Officer (ISO) to assist faculty members with information security needs. Faculty members may report information security incidents to the appointed ISO or to UIT Security by calling 832-842-4695 or emailing [security@uh.edu](mailto:security@uh.edu). UIT Security personnel are available 24/7/365 to respond to reported incidents. Incidents can also be reported anonymously at <http://www.mysafecampus.com>.

*For more information, email [security@uh.edu](mailto:security@uh.edu) or visit the UIT Security website at <http://www.uh.edu/infotech/security>*

## **Publications**

The Division of Marketing, Communication and Media Relations is responsible for:

- A. Development and implementation of university-wide logo, graphic and editorial standards;
- B. Implementation of the University of Houston stationery system, including letterhead, envelopes and business cards.
- C. Approval of key publications (see below).

## **Publications Approval**

The reputation of the University of Houston is determined in part by the messages conveyed to the community through the university's various publications. It is important that these messages be consistent, clearly identify the university, and depict the quality of the colleges and departments on this campus.

To ensure this consistency, the following kinds of publications must be approved by the Division of Marketing, Communication and Media Relations before printing:

- A. Undergraduate, graduate, and professional recruitment publications
- B. General institutional publications
- C. Any publication with an internal or external audience, and

To submit a publication for approval, send the final PDF to the Division of Marketing, Communication and Media Relations at [branding@uh.edu](mailto:branding@uh.edu). Please allow five working days for the publications review. Copy will be reviewed for the following information:

- A. Correct use of university name and logo
- B. University profile information where appropriate
- C. Equal Opportunity/Affirmative Action statement
- D. University of Houston System statement
- E. Consistency with university-wide editorial standards

Design will be reviewed for the following:

- A. Correct use of university logo
- B. Appropriate identification of the university



- C. Legible typeface and format
- D. Appropriate use of color
- E. Design consistent with university branding guidelines found at <http://www.uh.edu/graphicstandards>.

The Division of Marketing, Communication and Media Relations can provide suggested university profiles of varying lengths and accepted wording of formulaic, legally required copy such as the Equal Opportunity statement or the UH System statement. Use of the University of Houston name, seal, and logo should follow established guidelines. See "University Names and Indicia," above page 185.

*For details, contact the Division of Marketing, Communication and Media Relations, 713-743-0945, or visit the website at <http://www.uh.edu/about/offices/ummr/>.*

The University of Houston has a standard stationery format for letterhead, envelopes, business cards, interoffice correspondence, and note pads. All college and department stationery must follow the standard format.

*For additional information visit the website at <http://www.uh.edu/policies/graphic-standards/stationery/>.*

## **Printing and Postal Services Department**

Printing and Postal Services provides a total solution for all the printing and mailing needs of the campus community. All services from design to mailout are provided in-house. Free pickup and delivery is available for all jobs. Postage is charged through a university cost center via a Departmental Mail Card (DMC). Processing fees for print or postal are submitted on a service center (SC) voucher or paid for by check. The rates associated for all services are competitive with commercial print and mail houses.

*For more information on Printing and Postal Services, call 713-743-5900, or visit their website at <http://www.uh.edu/pp/>.*

## **Communication**

The Office of University Communications publishes *UH Campus News*, a quarterly e-newsletter for faculty and staff, the daily UH e-News Digest and maintains the UH News website. These publications and other distribution systems promote internal communication by sharing information within the university community.

## **Media Relations**

The Office of University Media Relations creates and manages the university's external and internal public relations program. The office is the university's primary liaison with broadcast, print, and online media and the community. Staff members cover university news using a beat system, working with faculty and staff to publicize events and programs as well as developing story ideas for reporters and editors. Office staff also work with members of the media to understand and respond to their needs.

University Media Relations staff work for the university, not the media. Therefore, all written materials, such as press releases, are reviewed by the faculty member before release. The office also respects publication or presentation dates and will not release information prematurely.

Here are some tips to help faculty work with University Media Relations:

- A. Keep in touch with the communications staff member in the faculty member's college. Also, know the media relations rep assigned to the faculty member's unit.
- B. Inform University Media Relations about such newsworthy items as awards, grants, new work, special events, research progress reports, and future issues and trends.
- C. Allow as much time as possible for University Media Relations to work on a project. A minimum of two weeks is needed to complete the writing and clearance process. Beyond that, different media have different deadlines for receiving information.
- D. Faculty may join the expanding pool of experts by letting the office know his/her specific expertise. University Communication receives frequent requests for expert commentary from the media and community groups and maintains an *Experts Guide* online.
- E. Notify University Media Relations when contacted directly by the news media.
- F. When speaking to reporters, use the entire university name: University of Houston.

*For media inquiry assistance, contact University Media Relations, 713-743-8185 or visit the website at <http://www.uh.edu/about/offices/ummr/media-relations>.*

## **University Marketing**

The Office of University Marketing manages the UH brand, reputation and image, and assists the university with positioning the institution as a major research university through paid advertising and marketing tools as well as special publications, social media, direct mail, and the university web site.

For more information about the UH ad campaign visit the website at <http://www.uh.edu/powerhouse/>.

## **Purchasing Department**

The Purchasing Department is accountable to the Executive Vice President for Administration and Finance. The Purchasing Department is the only department, with exceptions noted in the Manual of Administrative Policies and Procedures ([MAPP](#)), authorized to make commitments against University of Houston cost centers for the procurement of supplies and equipment. It is charged with the responsibility of conducting the purchasing function in a manner that will result in the greatest good for the university in conformance with established ethical practices. The specific responsibilities of the Purchasing Department are to help departments purchase exactly what they need at the lowest price (i.e., find the best value) while fully utilizing historically underutilized businesses (HUBs) whenever possible. Purchasing will also expedite delivery of urgently needed goods and services, refer information about new and improved products to departments as required, advise departments of the most appropriate sources of supply for various items, provide a central contact point for all vendors, serve as the liaison between university departments and outside vendors, and ensure that all purchases conform to university procedures and to applicable state and federal laws and regulations.

*Procurement related questions should be directed to the business officer within the college or division, the Director of Purchasing, or the Manual of Administrative Policies and Procedures or visit the Department of Purchasing website at <http://www.uh.edu/purchasing/>.*

## Facilities

### Arts

#### **Blaffer Art Museum at the University of Houston**

Located in the Fine Arts Building, Blaffer is a contemporary art museum dedicated to fostering careers and understanding of emerging, mid-career and underrepresented artists and bodies of work through exhibitions, publications, and public programs. Blaffer's myriad educational programs include public lectures, artist's talks, docent tours, audio guides, and youth programs such as Studio Saturday, Summer Arts and the award-winning Young Artist Apprenticeship Program.

*For more information call: 713-743-9521 or visit the museum online at <http://www.blafferartmuseum.org>.*

#### **Cullen Performance Hall**

Cullen Performance Hall, which is the eastern half of the E. Cullen Administration Building, was named in honor of Ezekiel W. Cullen, a former congressman for the Republic of Texas. The 1,612 seat facility is an essential site of campus and community cultural and performing arts events. Cullen Performance Hall also serves the city's arts community by providing a venue for the artistic and cultural exchange of ideas and information

*For more information about Cullen Performance Hall, contact UH Sports & Entertainment at 832-842-3100. For tickets visit [www.entertainhouston.com](http://www.entertainhouston.com).*

#### **Cynthia Woods Mitchell Center for the Arts**

The Cynthia Woods Mitchell Center for the Arts houses the Lyndall Finley Wortham Theatre, the intimate Jose Quintero Lab Theatre, costume and scene shops, rehearsal spaces, and offices.

#### **Dudley Recital Hall**

Dudley Recital Hall, room 132 in the Fine Arts Building, is a 300-seat auditorium operated by the Moores School of Music, which offers more than 200 recitals each year featuring faculty, students, and guest performers.

*For more information call: Dudley Recital Hall, 713-743-3009.*

#### **Moores Opera House**

The acoustically superb Moores Opera House has the largest public installation by abstract painter Frank Stella and hosts numerous public concerts.

*For more information call: Moores School of Music, 713-743-3009 or visit the website at <http://www.music.uh.edu/>.*

## **Houston Public Media: KUHT TV8, KUHF News 88.7 and KUHA Classical 91.7**

Houston Public Media (HPM) is a public service of the University of Houston. It's outreach extends to the greater Houston area through its media outlets, PBS affiliate station, KUHT-TV (Channel 8), NPR affiliate KUHF (88.7 FM), and Classical Music station KUHA (91.7 FM). HPM is located at the University of Houston's LeRoy and Lucile Melcher Center for Public Broadcasting.

*For more information visit [houstonpublicmedia.org](http://houstonpublicmedia.org) or call 713-748-8888.*

## **Campus Recreation**

Campus Recreation, a department within the Division of Student Affairs, coordinates recreation and fitness programs for the University of Houston community. More than 4,000 students, alumni, faculty, staff, and guests participate daily in one or more of the various activities offered at the Campus Recreation and Wellness Center (CRWC). It is the primary goal of Campus Recreation to provide quality recreation and fitness activities that engage participants of all skill levels. Through participation in aquatics, fitness, informal recreation, intramural sports, outdoor adventure, sport clubs, and summer camp programs, individuals gain a full appreciation of the physiological, psychological and social values of recreation and a better sense of their own ability to function productively in both a cooperative and competitive environment.

Details on membership rates, facility hours, and more are available online at <http://www.uh.edu/recreation>.

## **Sports Facilities**

### **Athletics/Alumni Center**

The Athletics/Alumni Center is home to both the University of Houston Volleyball and Track Team. The AAC is also the place where Cougar student-athletes practice, compete, work out, rehabilitate, study, meet and relax in the finest collegiate athletics training facility in the country.

### **TDECU Stadium**

University of Houston completed the TDECU Stadium in August of 2014. TDECU Stadium is an on-campus stadium which seats 40,000. This site also houses the Spirit of Houston Band Recital Halls and classroom spaces within the Bert F. Winston Band Complex. Home and Visitor locker rooms are located within the stadium as well as two state-of-the-art video boards. Premium seating options include a 12,400 square foot club area, 26 suites and 42 loge boxes. The Doris Nantz Press Box located within TDECU Stadium contains seats for 70 working media along with a press dining area. A 2,000 square foot tribute area to University of Houston history is located in Red & White Hall within the stadium. The University of Houston Athletics Ticket Office is also located on the northeast corner of TDECU Stadium facing Cullen Blvd.

### **Hofheinz Pavilion**

Hofheinz Pavilion, conveniently located at the corner of Cullen Boulevard and Holman Street, provides University of Houston's men's and women's basketball teams a decided home-court advantage and gives fans a splendid view for top-flight action. With seating to accommodate 8,500 fans, Hofheinz Pavilion serves as a multipurpose facility that can also be used for concerts, special events, convocations and student-sponsored activities.

## **Cougar Field**

Known for its fan-friendly atmosphere and spacious accommodations, Cougar Field is the proud home of the University of Houston baseball team. Reconstructed on February 22, 1995 and recently renovated with the installation of Field Turf, Cougar Field became one of the nation's top college baseball stadiums. With seating for 3,500 fans Cougar Field is a beautiful scaled-down version of a Major League park, providing an incredible place to watch college baseball.

## **Tom Tellez Track at Carl Lewis International Complex**

Tom Tellez Track at Carl Lewis International Complex plays host to Outdoor Track & Field as well as the Cougar Women's Soccer team. Tom Tellez Track features a nine-lane European oval-shaped track and is also equipped with dual jumping lanes, throwing areas and high jump aprons that allow fans to watch all field events. The complex includes a regulation-sized soccer field inside the track that is used by the UH women's soccer team.

## **Cougar Softball Field**

Up to 1,200 fans can take in a game at Cougar Softball Field which was completed prior to the 2002 season. Cougar Softball Field consists of a top-quality infield and outfield, home and visitor locker rooms, laundry facilities, concessions and a press box which includes separate radio and television booths.

*For more information on these facilities contact UH Sports & Entertainment at 832-842-3100. For tickets visit [www.entertainhouston.com](http://www.entertainhouston.com). For tickets to UH sporting events, call 713-743-9444 or visit <http://www.uhcougars.com/tickets/hou-tickets.html>.*

## Accommodations, Food Services and Catering

### Hilton University of Houston

This 86-room on-campus hotel accommodates university guests, parents, and friends as well as private sector customers. Eric's Restaurant is open daily and offers breakfast, lunch, and dinner. The conference center offers more than 25,000 square feet of flexible meeting space which is available for academic functions, general meetings or banquets. Public parking is available under the hotel. The hotel has a professional staff and serves as a training laboratory for the students at the Conrad N. Hilton College of Hotel and Restaurant Management, in addition to serving the public.

*For room reservations call: 832-531-6300 and choose Option 1. For conference information call: 832-531-6300 and choose Option 2. For breakfast, lunch or dinner reservations for Eric's Restaurant call 832-531-6323. For reservations for Barron's (a student-run restaurant serving lunch Monday-Friday and dinner Monday-Thursday four weeks into the fall and spring semesters) call 713-743-2558 or visit the website at [www.uh.edu/hilton-college/About/Barrons-Restaurant](http://www.uh.edu/hilton-college/About/Barrons-Restaurant). For Cougar Grounds (a student-run coffee house serving gourmet coffees, deluxe teas, signature coffee-blended drinks, and a variety of pastries, sandwiches and desserts Monday-Friday from 7:30 a.m. to 6 p.m.) call 713-743-2882 or visit the website at [www.uh.edu/hilton-college/About/Cougar-Grounds](http://www.uh.edu/hilton-college/About/Cougar-Grounds).*

### 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).

UH Dining Services Office is located in Suite 102 of Calhoun Lofts, 832-842-5989 or e-mail: [uhdining@uh.edu](mailto:uhdining@uh.edu).

Meal plans are available to faculty and staff by contacting Auxiliary Services at <http://www.uh.edu/auxiliaryservices>. Catering on Cullen is the on-campus catering service for formal or casual events.

For more information about catering or to place an order, call 832-842-5998, email [uhcatering@uh.edu](mailto:uhcatering@uh.edu), or visit the website at <http://univofhouston.campusdish.com/Catering.aspx>

## Faculty Handbook

### Guidelines for Revision

- A. The *Faculty Handbook* must be reviewed for revision at least every two years.
- B. No later than the beginning of the fall semester of even numbered years the Provost shall direct the President of the Faculty Senate to initiate the review process.
- C. Pursuant to the directive from the Provost, the Faculty Senate President shall form a Faculty Handbook Revision Committee to solicit proposed revisions from the Senate committees, the Council of Deans, and members of the Cabinet of the Chancellor/President. The Revision Committee shall include a representative from the Office of the General Counsel, the Office of the Provost, the Ombudsperson, and at least two Faculty Senate members.
- D. If the primary review finds that no changes are necessary, notification to the Faculty Senate President will satisfy the review requirement.
- E. If the Revision Committee determines that changes may be necessary, it shall forward those suggestions to the University Coordinating Commission or other relevant body to consider those and other possible revisions.
- F. The Revision Committee shall refrain as much as possible from stylistic changes and will detail its suggested policy changes in its submission of recommendations. The Faculty Senate Executive Committee shall review all changes and resolve problems by sending the changes back to the reviewing body for further consideration, by submitting the matter to the full Senate, or by its own determination.
- G. Upon completion of the review the *Faculty Handbook* with the proposed changes clearly indicated will be forwarded for review to the General Counsel and then for approval to the Provost and the Chancellor/President. If the recommendations are accepted, then the Provost will so notify the Faculty Senate offices. The General Counsel or Provost shall return the recommendations to the Faculty Senate Offices if the recommendations are declined. The President of the Senate will then notify the Revision Committee to determine further action.
- H. At the beginning of each academic year the Faculty Senate Offices shall generate four copies of the complete *Faculty Handbook*: one for the office of the General Counsel, one each for the University Library and Archive, and one to be maintained in the Faculty Senate Offices. Normal access to the *Faculty Handbook* shall be through the *Faculty Handbook* website.

Timeline: Suggested revisions by the primary review committee should be completed prior to May 31 of an odd-numbered year with a publication date of not later than August 1

- I. Nothing in this procedure shall preclude faculty governance bodies in their ordinary course of activities from considering changes in the *Faculty Handbook* in matters that pertain to their jurisdiction. These procedures only detail that mandatory review of the *Faculty Handbook* that takes place periodically.



## Faculty Handbook Committee, 2016 Edition

Miranda Bennett ( <i>Co-Chair</i> )	2010-2015 Secretary of the Faculty Senate
Suzanne Ferimer ( <i>Co-Chair</i> )	<i>Librarian, Weston A. Pettey Optometry Library</i>
Katy Greenwood ( <i>Co-Chair</i> )	<i>2015 Member, Faculty Senate Faculty Governance Committee</i>
Dona H. Cornell	<i>Vice President for Legal Affairs and General Counsel</i>
Lauri Schneidau Ruiz	<i>Senior Assistant General Counsel</i>
Mark Clarke	<i>Associate Provost, Faculty Development and Faculty Affairs</i>
Je'Anna Abbott	<i>UH Ombudsperson</i>
Wynne Chin	<i>2015 Faculty Senate President</i>
Jonathan Snow	<i>2016 Faculty Senate President</i>

### **NOTICE:**

If any part of this Handbook is found to be difficult to use, unclear, misplaced, or inadequate in any way or to make suggestions for information to be included in future editions, please submit comments in writing to the Faculty Senate office: mail code, FS-2005; FAX, 713-743-9184; e-mail, [fsenate@central.uh.edu](mailto:fsenate@central.uh.edu). They will be used to improve the next edition.

## Appendix A

### Faculty Senate Constitution (see page 35)

(Adopted May 1961, and amended Dec. 6, 1961; Jan. 10, March 21, 1962; Dec. 16, 1964; Jan 13, April 14, Sept. 22, Nov. 17, 1965; Feb. 16, 1966; April 16, Sept. 24, 1969; April 16, 1975; Nov. 17, 1976; Nov. 16, 1977; April 19, 1978; Dec. 12, 1979; June 6, 1980; Nov. 18, 1981; reviewed Oct. 3, 1983; amended Feb. 19, 1986; Sept. 16, 1987; Jan. 18, 1989; August 28, 1991; May 13, 1992; Dec. 14, 1994; January 25, 1995; March 29, 1995; May 7, 1997; Dec. 9, 1998; April 21, 1999; April 18, 2001; April 16, 2003; Sept. 1, 2004; Dec. 8, 2004; March 25, 2009; April 21, 2010; April 20, 2011; Dec. 14, 2011; Jan. 23, 2013; Dec. 11, 2013; May 5, 2014 and June 30, 2014.)

The members of the faculty at the University of Houston established this constitution to provide an instrument for cooperative action in attaining such ends as the members may select.

### Preamble

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

**Faculty Role in Shared Governance.** The faculty provides the excellence in teaching and research that determines the quality and reputation of the university. The faculty has a major role in devising academic policies, establishing performance standards, and in protecting academic freedom. Therefore, the faculty has the primary responsibility for curricular matters and degree programs. Recommendations about appointments, retention, and post-tenure review are a central faculty responsibility. The faculty has significant input in the formulation of budget priorities, including compensation policies. The faculty has a major role in the selection and review of administrators at all levels of the university. The faculty assists in setting goals to improve the quality of campus life, the surrounding community and the national academic standing of the institution.

### Article One--Membership

*Section One*—The Faculty Senate shall consist of 134 voting members elected by the faculty in the manner provided below. In any year, if the president's, the president-elect's or the immediate past president's term as senator shall have expired, that person shall be designated senator-at-large and the total membership shall be 135, 136 or 137 during which time the apportionment of senators shall not be affected.

*Section Two*—University of Houston faculty members who meet the eligibility criteria described in the bylaws may serve as members of the Faculty Senate, except those with the administrative rank of Dean or above.

*Section Three*—The unit by which representation shall be determined is the college, and not subdivisions thereof. Allocation of Senate seats by college is based upon proportion of total FTEs of eligible faculty across all colleges. For this purpose the following units are deemed to be colleges: Architecture, Business, Education, Engineering, Graduate College of Social Work, Honors, Hotel and Restaurant Management, Law Center, Liberal Arts and Social Sciences, Library, Natural Sciences and Mathematics, Optometry, Pharmacy, and Technology.

Membership of Undergraduate, Research and Scholarship, and Graduate and Professional Studies Standing Committees are described below in the bylaws

Members of a college who are eligible for Faculty Senate membership are eligible to vote in elections for senatorial positions. Elections must be by secret ballot.

*Section Four*—The Senate shall reapportion itself immediately before the 2011 unification, and each fourth year thereafter. Reapportionment shall be made in the proportion which the number of eligible faculty in the said colleges bears to the total number of the eligible faculty in the said colleges, but each college shall be entitled to at least one member. Librarians are counted in the same manner as other faculty.

If a new college is established, the Senate shall make provision for its representation at the next following election by one senator. If a college is discontinued, it shall cease to be represented. If a college is divided, its representatives shall be divided among the newly created colleges. If two colleges are merged, the successor college shall have the same representation as was previously held by the two separate entities. The apportionment of senators shall not be affected by the creation, division, merger, or termination of colleges until the next apportionment provided for in this article.

*Section Five*—Elections to the Senate shall be for a term of three years.

*Section Six*—Regular elections for a Senate seat shall be held a minimum of three months prior to the start of the new term. The Faculty Governance Committee will run each college election and shall certify the results of such elections to the secretary of the Faculty Senate.

Special elections to fill unexpired Senate terms shall be held within 60 days after a senator has resigned. The months of June, July, and August shall not be used in computing the 60-day period. Unexpired terms exceeding three months may be filled only by election. Unexpired terms of less than three months may be filled temporarily by an individual appointed by either the dean of the college or a college governance organization, at the end of which time a successor will be elected.

So as to avoid prolonged lapses in representation, a senator who goes on leave and is absent from academic duties, or is for any other reason away from the university, for a period exceeding the summer plus one long (i.e. Fall or Spring) semester shall relinquish his/her senatorial position and a special election shall be held to select a replacement. When the absence does not exceed the summer plus one long semester, the senatorial position may, and for periods of more than two months should, be filled temporarily by an individual appointed by either the dean of the college or a college governance organization.

If a senator-elect declines service, the Faculty Governance Committee may, at its discretion, select the candidate with the next highest number of votes to fill the seat.

*Section Seven*—Members of the Senate shall be eligible for reelection.

*Section Eight*—If a college loses a seat due to reapportionment, it shall be the one with the shortest term of office still remaining. In order that one-third of the Senate seats, or the nearest fraction thereto, are subject to election each year, terms of less than three years may be utilized as part of a reapportionment.

*Section Nine*—In order to promote effective representation for all colleges, members shall be regular in their attendance at meetings of the Faculty Senate. Members who are not actively participating in the business of the Senate or its committees during their term may be removed

from the Senate at the discretion of the Executive Committee. The exception is noted in Section Six of Article One.

## **Article Two--Officers**

*Section One*—The Senate shall have a president, a president-elect, and a secretary. The duties of these officers may be provided for in the bylaws. The bylaws may provide for other officers.

*Section Two*—One or more deputies may be appointed by the secretary of the Faculty Senate to assist in the discharge of the duties as secretary of the Senate. Such deputies need not be members of the Senate or the faculty.

*Section Three*—If the Office of the President becomes vacant, the president-elect shall become president. If the office of president-elect or secretary becomes vacant, a new election shall be held to determine the successor.

## **Article Three—Executive Committee**

*Section One*—The Executive Committee shall consist of the president-elect, the president, the immediate past-president, and the secretary of the Faculty Senate, two members elected by the Senate, the chair of the Faculty Governance Committee, and the chairs of Senate standing committees. The president of the Faculty Senate shall act as presiding officer of the Executive Committee, and the secretary of the Faculty Senate shall act as the secretary of the Executive Committee. Members of the Executive Committee shall serve one-year terms.

To coordinate the efforts of the shared governance structure and increase its effectiveness, the Executive Committee may invite the heads of other governance organizations to serve on it as non-voting ex-officio members.

*Section Two*—The Executive Committee shall direct the activities of the Faculty Senate. The president of the Senate shall appoint committees with the advice and consent of the Executive Committee. The Executive Committee shall prepare the agenda for the meeting of the Senate and shall propose to the Senate appropriate committee structure and other devices to carry out the business of the Senate.

*Section Three*—The Faculty Senate may at its discretion, by a majority of those present and voting, empower the Executive Committee or any other committee of the Senate, to act for it in any particular matter, or any well-defined class of matters. Such power may be rescinded at any time.

*Section Four*—The president of the Faculty Senate shall be responsible for communicating the actions of the Senate to the appropriate administrative authorities of the university. Prior to such communication, however, the Executive Committee shall be empowered to refer back to the Senate any action for further consideration at the next or subsequent meeting as the Senate may determine provided the same matter shall not be referred back hereunder a second time.

The president of the Faculty Senate shall be responsible for making a report on the activities of the Executive Committee at Faculty Senate meetings.

*Section Five*—If an at-large member of the Senate Executive Committee resigns, the Executive Committee may fill the vacancy by the appointment of a member of the Faculty Senate.

*Section Six*—In the spirit of shared governance and to increase its effectiveness, the Executive Committee shall meet with the Chancellor/President, the Senior Vice Chancellor/Senior Vice President for Academic Affairs and Provost, the Executive Vice Chancellor/Executive Vice President for Administration and Finance, and other senior administrators on a regular basis. The Executive Committee shall prepare the agenda for these meetings.

#### **Article Four--Faculty Governance Committee**

*Section One*—The Faculty Governance Committee shall consist of the president of the Senate, the president-elect of the Senate, the immediate past-president of the Senate, and twelve members elected by the Senate. No more than two members of the committee, excluding the ex officio members, shall come from any one college. The immediate past-president will serve as chair of the committee. If the immediate past-president is unwilling or unable to serve, the Senate shall elect an additional member to the committee, and the committee members will select their own chair from among the elected members of the committee. If a member of the committee resigns, the Senate Executive Committee may fill the vacancy by appointment of a member of the Faculty Senate.

*Section Two*—The committee is charged with the responsibility of regularly reviewing faculty governance within the university and making recommendations on improvements when needed. The committee will also oversee the updating of the *Faculty Handbook*.

*Section Three*—No later than June 1 of each year, the Senate shall have completed the appointment of faculty members to the university standing committees and shall forward the names of appointees to the appropriate administrators.

*Section Four*—The committee shall notify the Senate of nominations of faculty members to serve on committees or similar groups other than university standing committees. The committee shall nominate to the spring Assembly of the Faculty names for positions to be filled on the Faculty Grievance Committee. (For composition of membership, see Bylaw Seven.) Additional nominations may be made from the floor at the spring assembly. The committee shall promptly proceed to conduct a campus-wide election, and then to publicize the results. If a vacancy occurs on the Grievance Committee, the Faculty Governance Committee shall appoint a replacement for the portion of the term remaining until the next scheduled election.

*Section Five*—Except as provided elsewhere, the Faculty Governance Committee shall oversee the election of all Faculty Senate members and its officers. At the last regular meeting of the Senate in November, the committee shall present two nominations for the positions of president-elect and secretary, and four nominations for the two at-large positions on the executive committee. The committee shall also present fourteen nominees to fill the twelve elective positions on the Faculty Governance Committee. Following the presentation of the slate, the chair of the committee shall call for additional nominations to be made from the floor. Senators whose term of office is about to expire and who have not been re-elected to an additional term by October 31 are eligible for election to the Faculty Governance Committee, but not the other positions. The election shall take place via electronic balloting after completion of the slate and prior to the next regularly scheduled meeting of the Senate.

#### **Article Five--Assembly of the Faculty**

*Section One*—All faculty members at the University of Houston shall be encouraged to attend the Assembly of the Faculty.

*Section Two*—Assemblies of the Faculty shall be held at least once each fall and spring semester at the call of the president of the Faculty Senate. Additional meetings shall be called by the president of the Senate upon petition by five members of the Senate or twenty-five faculty members, or by action of the Executive Committee.

*Section Three*—One of the purposes of the Assemblies of the Faculty shall be to report to the faculty the actions of the Senate since the last Assembly of the Faculty. The Executive Committee of the Senate shall prepare the agenda for the Assembly of the Faculty. The agenda shall provide for the introduction of business at the meeting by any faculty member. The president of the Faculty Senate or the person discharging the duties of the president shall act as the chair of the Assembly of the Faculty. The secretary of the Faculty Senate shall act as secretary of the Assembly of the Faculty.

*Section Four*—The quorum for meetings of the Assembly of the Faculty shall consist of forty eligible faculty.

## **Article Six--Meetings and Voting**

*Section One*—The Senate shall meet at least once a month during the regular nine-month school year.

*Section Two*—The first regular meeting will be held in January, after the beginning of the spring semester.

*Section Three*—Prior to the February meeting, the Executive Committee shall present a calendar of regular meetings for the remainder of the calendar year. The Executive Committee, with due notice, may either alter the calendar of regular meetings or call special meetings. Upon the written petition of at least 20 senators, a special meeting must be called.

*Section Four*—Forty percent of the members of the Senate shall constitute a quorum for the transaction of business.

*Section Five*—All meetings shall be conducted according to parliamentary laws as set forth in the latest edition of Roberts' Rules of Order, except where a contrary rule is provided by this constitution, or by the bylaws, or by any standing rules.

*Section Six*—Any faculty member may petition the Executive Committee to be permitted to address the Faculty Senate in regard to any matter within the Senate's competence. Such appearance shall be subject to limitations of time as provided by the Senate, but permission hereunder shall be granted as freely as the due conduct of the Senate's business shall permit.

*Section Seven*—Except where the constitution or bylaws provide otherwise, all elections and matters voted upon shall be determined by a majority of those voting.

*Section Eight*—Written or electronic ballots shall be used for elections. Other matters will be determined by a show of hands unless written ballots are requested by at least 10 members of the Senate.

## **Article Seven—Adopting or Amending Bylaws**

*Section One*—The Senate may adopt or amend bylaws as follows:

- (1) At a regular meeting of the Faculty Senate by a majority vote provided, however, that notice of such bylaw or amendment to a bylaw must have been given a reading in the exact form in which it is finally adopted at the previous regular meeting,



- (2) If the proposed bylaw, having been read at the previous meeting, is amended by a majority vote of the Senate subsequent to its reading, it may be adopted by a two-thirds vote of those present, or
- (3) By a written or electronic two-thirds vote of the total membership of the Senate.

## **Article Eight--Amending Process for the Constitution**

*Section One*—This constitution may be amended only as follows:

- (1) At a regular meeting of the Faculty Senate by a two-thirds vote of the members present provided, however, that notice of such amendment must have been given by a reading of the amendment, in the exact form in which it is finally adopted, at the previous regular meetings,
- (2) By a written or electronic two-thirds vote of the total membership of the Senate, or
- (3) By a three-fourths vote of those members present at an Assembly of the Faculty provided, however, that notice of such amendment must have been given by a reading of the amendment, in the exact form in which it is finally adopted, at a meeting of the Assembly of the Faculty at least 30 days previously.

## **Bylaws**

**ONE** — An eligible faculty member is a full-time, tenured or tenure-track faculty member or a full-time Library faculty member or a full-time non-tenure track faculty member with at least three years of continuous service at the University of Houston. For the purposes of these Bylaws, a non-tenure track faculty member is defined as instructional, research, or clinical with the rank of Professor, Associate Professor, or Assistant Professor.

**TWO** — Duties of officers shall be as follows:

Duties of President:

- Preside over all meetings of the Faculty Senate and the Assembly of the Faculty.
- Be an ex officio member of all standing and ad hoc committees of the Faculty Senate.
- Call special meetings when appropriate.
- Transmit to the appropriate administrative authorities of the University of Houston the recommendations and resolutions passed by the Faculty Senate.
- Advise the president and the senior vice president for academic affairs of the University of Houston on matters of general interest to the faculty.
- Transmit from the president and senior vice president information on matters of general interest to the faculty.
- Appoint the chairs of the following senate standing committees: Budget and Facilities; Community and Government Relations; and Faculty Affairs.
- Determine the portfolio of each Member-at-large of the Executive Committee.
- Be a voting ex officio member of the University Coordinating Commission.
- Be the representative of the faculty on the University President's Cabinet.
- Report on faculty interests to the University of Houston System Board of Regents at regular Board meetings.

Duties of President-Elect:

- Preside over all meetings of the Faculty Senate and the Assembly of the Faculty in the absence of the president.



- Be a voting ex officio member of all standing and ad hoc committees of the Faculty Senate, and act as liaison between these committees and the president.
- Further assist the president as the president may deem advisable.
- Coordinate with the secretary the communications of the Senate.
- Be a voting ex officio member of the University Coordinating Commission.
- Be a voting ex officio member of the University Commission on Women.

Duties of the Secretary:

- In consultation with the President, be responsible for all forms of communication emanating from the Faculty Senate.
- Keep a complete set of minutes for each meeting and prepare summary minutes of each regular or special meeting.
- Act as treasurer when necessary.
- Keep a roll of members present.

Duties of Immediate Past President:

- Serve as chair of the Faculty Governance Committee.
- Work with the new president in transferring effectively the responsibilities of the office.
- Further assist the president as the president may deem advisable.
- Be a voting ex officio member of the University Coordinating Commission.

**THREE** — The Faculty Governance Committee shall determine the eligibility and qualifications of all nominees and members of the Senate.

**FOUR** — At-large Senators shall be appointed to the membership of the Budget and Facilities Committee, Community and Government Relations Committee, and Faculty Affairs Committee. The committees in consultation with the Executive Committee may appoint additional voting and non-voting members as needed based on required expertise.

The Budget and Facilities Committee shall conduct a continuing review of the university's financial resources, including the ways in which such resources are actually spent.

The Faculty Affairs Committee shall review and recommend policy concerning the conditions of faculty employment, review the operations of the appropriate administrative officials with respect to the implementation of existing policy and the promulgation of policy changes.

The Community and Government Relations Committee shall serve as the Faculty Senate liaison to the university community, external communities, and governmental entities.

The chair of the Faculty Affairs Committee or designee shall be a member of the UH Faculty Advisory Committee on Human Resources.

**FIVE** — Members of the Research and Scholarship Committee, the Undergraduate Committee, and the Graduate and Professional Studies Committee shall be elected to their respective committees as senators by the eligible faculty within their college. The committees in consultation with the Executive Committee may appoint additional voting and non-voting members as needed based on required expertise. The chairs of the committees shall be senators and shall be elected by the Senate members of the respective committee.

In order to be eligible for nomination for election to the Research and Scholarship Committee, the faculty member must satisfy the following criteria:

- A) the faculty member must have an ongoing, focused research agenda as evidenced by refereed scholarly articles, grant writing, research presentations or other scholarly research output deemed in their discipline as appropriate to a faculty member actively engaged in the research endeavor of a nationally recognized research university. Such scholarly output must satisfy the expectations of the individual college from which the faculty member is nominated.
- B) the faculty member must be actively involved in either graduate or undergraduate research programs administered within their own academic unit.

One position on the Research and Scholarship Committee must be reserved for an eligible faculty member who holds the formal rank of research faculty. Nominations for this position should be directed to the Faculty Governance Committee from individual colleges. This member will be elected by all eligible research faculty.

The Research and Scholarship Committee shall work to advise and make recommendations to the Vice President for Research and Technology Transfer on the matters pertaining to research development, policies relating to the conduct of research and related research activities at the university. The Research and Scholarship Committee administers the Internal Grants Program, including restructuring the program each year in light of available resources, preparing and issuing the call for proposals, coordinating review of proposals, and making recommendations on the allocation of the funds. The Committee also administers the Research Excellence Award, including establishing guidelines, issuing request for nominations, and overseeing the activity of the selection committee that makes recommendations of awards.

In order to be eligible for nomination for election to the Undergraduate Committee, the faculty member must satisfy the following criteria:

- A) must have taught at least one undergraduate class in two of the three years preceding nomination
- B) the faculty member must be actively involved in the undergraduate academic programs administered within their own academic unit.

The Undergraduate Committee shall work to advise the Provost on matters pertaining to the assessment and strengthening of undergraduate academic programs and curriculum offerings, setting of standards and priorities leading to academic excellence, monitoring of college and departmental requirements for baccalaureate degrees, stimulation and assessment of excellence in teaching, development and implementation of strategies for the recruitment and retention of undergraduate students, implementation of crucial recommendations from any university level study and its impact on the undergraduate students, refinement and monitoring of the admissions criteria and process, particularly for target populations, create and maintain more effective coordination and cooperation with student organizations, and any other matters pertaining to or having an impact on undergraduate education.

In order to be eligible for nomination for election to the Graduate and Professional Studies Committee, the faculty member must come from a college with a graduate or professional program.

The Graduate and Professional Studies Committee is responsible for advising the Vice Provost and Dean of the Graduate School regarding graduate and professional programs at the University of Houston. It is also charged with recommending changes in existing policies or suggesting the need for new ones, approving new programs, and approving new courses, course

changes and/or deletions for submission to the Texas Higher Education Coordinating Board. Specifically, the GPSC will address matters relating to: A) Review of admission procedures of graduate and professional students as well as other policies affecting graduate and professional students. B) Review of new graduate and professional degree program proposals, program changes, and on-going programs. C) Review of and recommendations for graduate and professional programs policies and procedures.

**SIX** — If there is a change in the role of an elected chair of a committee to department chair, assistant dean, associate dean, or equivalent, the Faculty Governance Committee will re-run elections for chair. If the committee is led by an appointed chair, the Faculty Senate President, in consultation with the Executive Committee, will decide to retain or replace the Chair.

**SEVEN** — Minutes for regular Faculty Senate meetings will be provided to each senator before the next regular meeting; copies will be available to others upon request from the Faculty Senate office. Minutes for special meetings will be prepared promptly and distributed in the same manner as the minutes of regular meetings.

**EIGHT** — When the Senate is requested to nominate faculty members to serve on any committee or other body for which members are not nominated by the Faculty Governance Committee, the power to nominate rests with the president of the Senate. All nominations shall be promptly communicated by the president to the Executive Committee and the Faculty Governance Committee.

**NINE** — The Faculty Grievance Committee has thirteen faculty representatives who are elected by the entire faculty to three-year terms of office, with approximately one-third of the membership being replaced each year. If a member resigns, a replacement is appointed by the Faculty Governance Committee to serve until the next annual election. Those then elected serve out the original term of office (see Article Four). The nominees should be broadly representative of the diversity in the faculty and in the academic perspectives. No more than three members shall be from the same college when said college has 200 or more full-time, tenured or tenure-track faculty and no more than two members shall be from the same college when said college has fewer than 200 full-time tenured or tenure-track faculty. The Faculty Governance Committee shall nominate at least two candidates more than the vacancies. Recognizing the value of participation in the grievance process by members of each college, the Faculty Governance Committee shall work with due diligence to include a candidate from each college without a continuing member on the Grievance Committee. In consideration of the burdens of the committee, election to the Grievance Committee shall constitute a resignation from other university level committees unless the elected member otherwise specifically requests.

The members of the Grievance Committee must be full-time tenured faculty with the rank of associate professor or higher or senior associate librarians or higher. Members of the administration, including deans or directors, assistant or associate deans or directors, and department chairs, are not eligible to be members of the committee.

The University Grievance Committee exists as the final faculty body to which a faculty grievance may be submitted including a decision for nonrenewal of contract of a non-tenured faculty member if the appeal is based upon procedural issues including the allegation that adequate consideration of the individual's qualifications was not given or that considerations violative of the individual's academic freedom contributed significantly in the decision not to renew the contract.

**TEN** — The president of the Faculty Senate, the president-elect of the Faculty Senate and the chairs of the Faculty Governance Committee, Graduate and Professional Studies Committee, Research and Scholarship Committee, and Undergraduate Committee are members of the University Coordinating Commission (UCC) which shall operate to coordinate and expedite communication among faculty, staff, students, and the administration in the development of policies and procedures.

**ELEVEN** — The president and president-elect or their representatives shall serve as Senate representatives to the University Faculties Executive Council [UFEC]. Each representative shall serve until the end of the calendar year, or until replaced. A Senate representative may continue to serve even if the Senator's term of office has expired.

**TWELVE** — The Senate is a member of the Texas Council of Faculty Senates (TCoFS), a state-wide organization composed of state colleges and universities. The two representatives to TCoFS shall be the president and president-elect of the Senate.

**THIRTEEN** — The Senate is a member of the Coalition on Intercollegiate Athletics. The delegate to, and an alternate for, the Coalition on Intercollegiate Athletics (CoIA) will be elected by the UH Faculty Senate for two-year terms. The elections will be held as necessary at the same meeting as the other officers each year. The delegate and alternate must be members of the Faculty Senate at the time of their election. In the event that neither can attend a meeting of CoIA, the Faculty Senate Executive Committee may appoint another Faculty Senate member as the UH representative for that meeting.

In the event the Delegate resigns, the Alternate will become the Delegate and the Executive Committee shall appoint another Alternate. In the event the Alternate resigns, the Executive Committee shall appoint another Alternate. Appointees must be members of the Faculty Senate at the time of appointment.

The elected CoIA Delegate or Alternate shall be a voting ex officio member of the University of Houston Athletic Advisory Committee.

**FOURTEEN** — In situations where there is the possibility of eliminating or drastically reducing academic departments or programs with the result that faculty might be terminated, the president of the Faculty Senate will appoint an ad hoc committee representing the academic interests of the campus. This committee will participate actively in deliberations and proceedings concerning possible reduction or elimination. Committee participation shall be timely and shall afford ample opportunity for the Faculty Senate to represent adequately its viewpoints prior to final decision.

## **Appendix B**

### **Bylaws of the Research and Scholarship Committee of the Faculty Senate**

#### **PURPOSE**

The Research and Scholarship Committee (RSC) of the University of Houston Faculty Senate is responsible for advising and making recommendations to the Vice President for Research and Technology Transfer on matters pertaining to research development and on policies concerning the conduct of research-related activities at the University.

The RSC's specific responsibilities include:

- A. Administer the Internal Grants Programs: Organize the programs each year in accordance with available resources, prepare and issue the call for proposals, coordinate review of proposals, and make recommendations on the allocation of funds to the Vice President for Research and Technology Transfer.
- B. Administer the Faculty Research Excellence Awards: Establish guidelines, issue request for nominations, oversee the activity of the selection committee, and make recommendations of awards to the Vice President for Research and Technology Transfer.
- C. Make recommendations to the Vice President for Research and Technology Transfer that promote development of research activities for the University and adherence to appropriate policies relating to the conduct of research at the University.

#### **MEMBERSHIP**

- A. Members of the RSC shall be elected to the Research and Scholarship Committee as Faculty Senators by the eligible faculty within their college. The Chair and Vice-Chair of the RSC shall be Senators and shall be elected by the RSC members.
  1. Each elected member shall serve a term of three years and must satisfy the following criteria:
    - a. The faculty member must have an ongoing, focused research agenda as documented by refereed scholarly articles, proposal submissions, research presentations, or other scholarly research output appropriate to a faculty member actively engaged in the research endeavors of a nationally recognized research university. Such scholarly output must satisfy the expectations of the individual college from which the faculty member is nominated.
    - b. The faculty member must be actively involved in either graduate or undergraduate research programs administered within the member's own academic unit.
- B. There shall be a member representing the Research Faculty.
- C. There shall be a member representing the collective body of Research Centers and Institutes. This individual must be a member of the Research Faculty or the Tenure-track Faculty.
- D. There shall be a staff member representing the Division of Research in a non-voting, *ex-officio* capacity, who supports the Research and Scholarship Committee.
- E. The Vice President for Research and Technology Transfer acts in a non-voting, *ex-officio* capacity.

F. Selection of Members:

1. Senators are elected from the eligible faculty within their college and shall serve a three-year term. The Faculty Senate will oversee and conduct the elections. Approximately one-third of the members will be replaced or re-elected each year.
2. Nominations for the member representing the Research Faculty should be forwarded to the Faculty Governance Committee of the Faculty Senate. This member will be elected by all eligible research faculty and shall serve a three-year term.
3. Nominations for the member representing the Centers and Institutes should be forwarded to the Faculty Governance Committee of the Faculty Senate. This member will be elected by all directors of DOR Centers and Institutes and shall serve a three-year term.

G. Non-members invited by the RSC may attend official meetings and can participate in the discussion when recognized by the Chair; however, they are non-voting members.

## OFFICERS

The RSC shall have a Chair and a Vice Chair who shall be members of the RSC.

1. The Chair and the Vice Chair shall be elected by the RSC for a one-year term from among those members who will be returning to the RSC the following year. The election will be held during the last meeting of the Spring term. The Chair and Vice Chair shall assume their offices at the beginning of the Fall semester of the year in which they are elected. Usually, the Chair will be in his/her last year and the Vice Chair in his/her next-to-last year on the RSC while serving in their offices. The Vice Chair will automatically assume the duties of Chair the following year.
2. The duties of the Chair are as follows:
  - a. To set the dates for the RSC meetings in consultation with the Division of Research and the RSC members. Traditionally, meetings are held on designated Fridays of each academic month that do not conflict with University holidays and teaching breaks. There are no meetings in the summer, unless required.
  - b. To set the agenda for the RSC meetings in consultation with the Vice President for Research and Technology Transfer.
  - c. To preside at all meetings of the RSC.
  - d. To appoint the chairs and members of the subcommittees of the RSC, which are described in the Section on Subcommittees of these Bylaws.
  - e. To notify the Faculty Senate of the resignation of any member or the extended or frequent absences from the RSC meetings of any member (see Paragraph on Meetings, Item F) and request assurances that either the member will attend or that an appropriate replacement shall be elected.
  - f. To assure that the approved minutes of the RSC, including its actions, are recorded and placed on the RSC website, which resides with the Vice President for Research and Technology Transfer.
  - g. To serve as a member of the Esther Farfel Award Committee.







Vice President for Research and Technology Transfer. The chairs of the ad hoc subcommittees shall be members of the RSC, but other subcommittee members may be drawn from the broader University community to lend specific expertise to the issues at hand. The chair of each ad hoc sub shall be prepared to report on the activities of the subcommittee at each RSC meeting when called upon by the Chair. At the end of the academic year or when the charge of the subcommittee has been accomplished, the chair of the subcommittee shall prepare a written report of the subcommittee's activities and submit it to the Chair of the RSC.

## **MEETINGS**

- A. The RSC shall hold regular monthly meetings during the University academic Fall and Spring semesters. The Chair shall announce, in writing, the dates of the meetings at the beginning of the Fall semester.
- B. Should the need arise, the RSC may hold special meetings upon the call of the Chair or the written petition of at least five members. The Chair or members who call the meeting shall notify the members at least one week in advance of the meeting.
- C. Members who are unable to attend a meeting shall notify the Chair as soon as possible.
- D. At meetings of the RSC, one-half the "active membership", (i.e., voting members) currently in good standing (see Paragraph F), shall constitute a quorum.
- E. All RSC meetings shall be conducted according to *Roberts Rule of Order, Newly Revised*, except where a contrary rule is provided by these Bylaws.
- F. RSC members shall attend meetings regularly. RSC members who are absent from either three consecutive regularly scheduled meetings of the RSC or one-half the regularly scheduled meetings of either the RSC or its subcommittees during a one-year period beginning with the first day of the Fall Semester (as defined by the University Class Schedule) may be removed from the RSC. The Faculty Senate will oversee and conduct the election for a replacement. In the case where an RSC member will be absent for an entire semester due to a time conflict or absence from the campus, the Faculty Senate will be notified to procure a temporary replacement, so that the relevant constituency is represented at the meetings.

Attendance can be physical or virtual, using online meeting services that provide audio and/or video.

## **ELECTIONS AND VOTING**

- A. All elections and matters voted upon shall be determined by a majority of those voting, except where these Bylaws provide otherwise. Upon the call of five or more members, the vote shall be by written ballot.
- B. There shall be no voting by proxy.
- C. Ex-officio members may participate in discussions but have no voting privileges.

## **AMENDMENTS TO THE BYLAWS**

- A. These Bylaws may be amended in two ways:
  1. At meetings of the RSC by a two-thirds vote of the members present, provided that written notice of the proposed amendment shall have been distributed to the members of the RSC at least 48 hours in advance.

2. Via electronic balloting with a two-thirds vote of a quorum, as needed.
- B. Unless specified otherwise, an amendment to these Bylaws shall become effective immediately upon its approval by vote.

### **RESTRICTIONS**

The Bylaws of the University of Houston Faculty Senate supersede all Bylaws described herein.

Approved by the Research and Scholarship Committee on May 10, 2013.

## Appendix C

### Bylaws of the Undergraduate Committee of the Faculty Senate (established September 2011)

#### MEMBERSHIP

- A. The Undergraduate Committee (hereafter referred to as the Committee) shall consist of members representing the faculty, student body, and administration of the University of Houston.
1. The faculty shall be represented by

One elected representative from a college for each 14,000 undergraduate semester credit hours or fraction thereof generated by the college based on: initially, the official twelfth-day enrollment figures for the fall semester 2011; subsequently, the official fall enrollment figures every third year thereafter. The Honors College shall have one representative regardless of such figures. The distribution of elected faculty representatives for the academic year shall be reported at the first regular meeting of the Committee each fall semester.

    - a. Every faculty member of the University of Houston including chairs, directors, assistant deans, and associate deans, but excluding those with administrative rank of dean or above, shall be eligible for membership.
    - b. Terms of membership shall be for three years beginning August 15, with approximately one-third of the terms expiring each year.
    - c. Members shall be eligible for re-election.
  2. The Undergraduate Student Body shall be represented by two undergraduate students from the Student Government Association. Those students shall be the chair of the Academic Affairs Committee (AAC) and one other member of the AAC or two students from the AAC nominated by the chair of the AAC.
  3. Any other individuals (including up to three (3) additional undergraduate students) from the University community who may contribute to the function of the Committee. Individuals may be nominated by any elected Committee member, must be confirmed by a majority vote of the Committee, and are eligible for reappointment. Such individuals may not make up more than one third (1/3) of the Committee.
  4. The Libraries shall be represented by one librarian elected from his or her ranks.
  5. The chair or co-chairs of the Advising Coordinators Team (ACT).
  6. The administration (ex-officio, non-voting members) shall be represented by:
    - a. The Provost's deputy primarily responsible for Undergraduate Studies;
    - b. The Associate Vice President of Student Access and Success;
    - c. The Associate Vice President of Undergraduate Studies;
    - d. The Dean of Students;
    - e. The Executive Director of Admissions;
    - f. The Registrar of the Office of Registration and Academic Records.

## OFFICERS

- A. The Committee shall have a Chair and a Vice-Chair who shall be elected members of the Faculty Senate and the Committee.
1. The Chair shall be elected to a two-year term by the Committee from among its faculty members at the last regular meeting before final examinations in the spring semester and shall take office on August 15. No member shall be elected Chair for two consecutive terms. The Chair may be removed from his/her position by three-fourths written vote of members present at a regular or special meeting.
  2. The duties of the Chair shall be to
    - a. Determine the dates of and set the agenda for all regular meetings of the Committee.
    - b. Preside at all meetings of the Committee and its Executive Committee.
    - c. Appoint the chairs and members of all standing subcommittees of the Committee no later than the first regular meeting of the fall semester.
    - d. Appoint the chair and members of *ad hoc* subcommittees whenever necessary.
    - e. Serve as an *ex officio* member of all standing and *ad hoc* subcommittees of the Committee.
    - f. Report directly to the Senior Vice President and Provost in writing and in a timely manner all actions of the Committee sending copies of the report to departments, schools, and colleges when appropriate.
    - g. Submit, no later than August 31, a written summary report of the Committee's activities for the previous twelve-month period to the Senior Vice President, Provost, and President of the Faculty Senate.
    - h. Represent the Committee on other University bodies as appropriate and report their activities to the Committee. Chair may appoint a designee to these duties.
    - i. Appoint the Vice-Chair of the Committee with the consent of the majority of the members of the Committee.
  3. The Chair shall be entitled to
    - a. Call special meetings of the Committee and set the agenda for those meetings.
    - b. Participate in the discussions of the Committee at its regular and special meetings, unless prohibited from doing so by a two-thirds vote of the members of the Committee present and voting.
    - c. Vote during meetings of the Committee when the vote is by written ballot and in all other cases where the vote would change the result.
    - d. Appoint to standing subcommittees representatives of the faculty, student body, or administration who are not members of the Committee, provided that a majority of each subcommittee shall be composed of members of the Committee.
    - e. Appoint to *ad hoc* subcommittees representatives of the faculty, student body, or administration who are not members of the Committee, provided that a majority of each subcommittee shall be composed of members of the Committee.

4. The Vice-Chair shall be appointed by the Chair of the Committee from among its members with the consent of a majority of the members of the Committee present and voting at the first regular meeting of the fall semester.
    - a. The Vice-Chair's term shall end on August 14.
    - b. So long as the Vice-Chair is a member of the Committee, he or she shall be eligible for reappointment.
  5. The duties of the Vice-Chair shall be to
    - a. Perform the duties of the Chair during the chair's temporary absence.
    - b. Report all changes in Committee membership to the Committee in a timely manner.
- B. If the office of Chair becomes vacant, the Committee shall hold a new election to determine the successor. If the office of Vice-Chair becomes vacant, the Chair shall appoint a successor with the consent of the majority of the members of the Committee present and voting at the next regular meeting of the Committee.

### **SUBCOMMITTEES**

- A. The Committee shall have five standing subcommittees, each chaired by a faculty member of the Committee: The Core Curriculum Subcommittee, the two Degree Programs/CBM003 Subcommittees, the Academic Policies and Procedures Subcommittee, and the Student Success Subcommittee.
1. Each standing subcommittee shall perform such duties as may be required by the Committee or its Chair.
  2. Each voting member of the Committee shall be a member of at least one standing subcommittee, but the membership of no standing subcommittee shall include more than three elected faculty representatives from the same college or more than one student representative.
  3. The chair of each subcommittee shall notify the Chair of the Committee in writing of any member assigned to the subcommittee who has been absent from either three consecutive regular meetings of the subcommittee or half the regular meetings of the subcommittee during a one-year period beginning August 15. The Chair of the Committee shall bring this matter to the attention to the Committee at the next regular meeting of the Committee and shall, with the consent of the majority of the remaining members of the Committee, declare the member's position on Committee to be vacant.
  4. The Degree Programs/CBM003 Subcommittees shall divide their work as follows: one subcommittee shall receive documents from Colleges of Architecture, Business, Education, Hotel and Restaurant Management, Natural Sciences and Mathematics, Pharmacy, and Liberal Arts and Social Sciences (departments and programs to include Comparative Cultural Studies, Communication Sciences and Disorders, Economics, Political Science, Psychology, Sociology, Military Science, Naval Science, and Air Force ROTC); one subcommittee shall receive documents from the Colleges of Engineering, Honors, Technology, and Liberal Arts and Social Sciences (to include all departments and programs not listed for the first Degree Programs/CBM003 Subcommittee) and Undergraduate Scholars.

- B. The Committee shall have an Executive Committee.
  - 1. The Chair of the Executive Committee shall be the Chair of the Committee. The other members shall be the Vice-Chair of the Committee, the chairs of the Committee's standing committees, and the Provost's deputy.
  - 2. The Executive Committee may meet before each regular meeting of the Committee.
- C. The Committee may have *ad hoc* subcommittees as necessary to consider matters clearly not the responsibility of a standing subcommittee or the Executive Committee. No *ad hoc* subcommittee shall continue beyond the term of the Chair appointing it.
- D. Every two years at its first regular meeting in March, the Chair shall appoint a Nominating Subcommittee with the approval of the Committee.
  - 1. The Nominating Subcommittee shall be made up of four members of the Committee, at least three of whom shall be faculty.
  - 2. At the Committee's first regular meeting in April, the Nominating Subcommittee shall nominate at least two eligible members of the Committee to be Chair of the Committee for the next two years.
  - 3. Action by this Nominating Subcommittee shall not preclude individual members of Committee from making additional nominations.
- E. Subcommittee chairs shall attempt to hold subcommittee meetings when a majority of the subcommittee members can attend and notify the members of the subcommittee where and when meetings are to be held at least twenty-four hours before they begin.
- F. Members shall be regular in their attendance at meetings of their subcommittees. One-half the membership of each subcommittee shall constitute a quorum for the transaction of business.
- G. All subcommittees of the Committee shall report in writing to the Committee.

## MEETINGS

- A. The Committee shall hold regular meetings at least four times each fall and spring semester and if necessary during the summer.
  - 1. The first regular meeting each fall and spring shall take place during either the first or the second week of classes.
  - 2. The Chair shall announce in writing the dates of the semester's other regular meetings no later than the first regular meeting each semester and the date of the regular summer meeting(s) no later than the first regular meeting of the spring.
  - 3. During the fall and spring semesters, regular meetings shall be held on Wednesdays from three until five o' clock in the afternoon. Meetings that continue beyond that time shall be considered to be special rather than regular, from five o' clock until they end.
  - 4. At least forty-eight hours in advance, the Chair shall notify the members of the Committee in writing where each regular meeting is to be held. In the absence of such notification, a meeting shall be considered to be special rather than regular.
- B. The Committee shall hold special meetings upon the call of the Chair or upon a written petition of at least five members. The Chair of members who call the meeting shall notify the members of the Committee where and when it is to be held at least twenty-four hours

before it begins. If possible, special meetings shall be held on Wednesdays at three o' clock in the afternoon.

- C. At regular meetings of the Committee, the members who are present shall constitute a quorum for the transaction of business. At special meetings, one-half the membership shall constitute a quorum.
- D. Upon request of at least three of its members present and voting, the Committee shall postpone consideration of any proposal unless a spokesman for the proposal is present.
- E. No changes to either the Undergraduate Curriculum of the University of Houston or the undergraduate admissions requirements shall become effective during the academic year following their adoption by the Committee, unless said changes have been received in writing for review by the Committee on or before the 1<sup>st</sup> of March except with the consent of at least two-thirds of the members present and voting at a regular meeting of the Committee.

### **AMENDMENTS**

- A. These bylaws may be amended
  - 1. At a regular or special meeting of the Committee by a two-thirds vote of members present, provided that a written notice of the amendment in the exact form in which it is finally adopted shall have been distributed to the members of the Committee at least five days in advance.
  - 2. By written three-fourths vote of the entire membership of the Committee. Members shall have at least two weeks to cast their votes.
- B. Unless it specifies otherwise, an amendment shall become effective immediately upon its adoption.

### **ADOPTION**

The Committee's bylaws shall become effective when approved by two-thirds of the members of the Committee, a majority approval by the Faculty Senate Governance Committee, the Provost, and the President of the University of Houston.



## **Appendix D**

### **Graduate and Professional Studies Committee Bylaws**

#### **PURPOSE AND CHARGE**

The Graduate and Professional Studies Committee of the Faculty Senate (GPSC) is the shared governance committee responsible for advising the Faculty Senate and University Administration regarding graduate and professional programs at the University of Houston. It is also charged with recommending changes in existing policies or suggesting the need for new ones, and approving new courses, course changes and/or deletions for submission to the Texas Higher Education Coordinating Board.

Specifically, the Graduate and Professional Studies Committee will address matters relating to:

- A. The admission and selection of graduate and professional students as well as other policies affecting graduate and professional students;
- B. Review of new degree program proposals, program changes, and on-going programs;
- D. Review of and recommendations for graduate and professional programs policies and procedures.

#### **MEMBERSHIP**

The Graduate and Professional Studies Committee shall consist of members elected to the Faculty Senate by the eligible faculty within their college, as well as representatives of the student body and academic administration of the University of Houston.

- A. The faculty shall be represented by:
  - 1. Two elected Faculty Senate members from each who shall have voting privileges.
    - a. Membership shall be for three years beginning with the Fall semester. Approximately one-third of the committee 's faculty representatives shall be selected each year.
    - b. Members shall be eligible for re-election.
  - 2. One optional ex-officio faculty member appointed by each college who shall have voting privileges only within the GPSC and serve for a three-year term.
- B. The student body shall be represented by two graduate or professional students from the Student Government Association for terms of one year beginning with the fall semester and who shall have voting privileges within the GPSC only.
- C. The administration (ex-officio, non-voting members) shall be represented by:
  - 1. Vice Provost and Dean of the Graduate School or designated representative.
  - 2. University Registrar or designated representative.
- D. Elected members shall attend meetings regularly. Such members who are absent from either three consecutive meetings of the GPSC or one-half the regularly scheduled meetings of the GPSC or its committees during a one-year period beginning with the first day of the Fall semester (as defined by the University class schedule) may be removed from the GPSC for excessive absences. The Faculty Senate will oversee and conduct election for a replacement. In the case where an elected member will be absent for an entire semester due to a time

conflict or absence from the campus, the Faculty Senate will be notified to procure a temporary replacement, so the relevant constituency is represented at the meetings.

## **OFFICERS**

- A. The Committee shall have a chair and a vice-chair who shall be members of the Committee.
  1. These officers shall be members of the Committee and shall be elected by the Committee as a whole for a term of one year. The vice-chair serves the first year as Committee chair-elect and the second year as Committee chair. During the last meeting of the Spring semester, the Committee shall elect a new chair-elect from among those members of the Committee who will be returning to the Committee the following year. At the first meeting of the Fall semester, the chair of the Committee is assumed by the vice-chair.
  2. The duties of the chair are:
    - a. In consultation with the Committee, to set dates for meetings of the GPSC
    - b. To set the agenda for the meetings of the GPSC;
    - c. To preside at all meetings of the GPSC;
    - d. To appoint the chairs and members of the standing committees of the GPSC;
    - e. To ensure that the approved minutes of the GPSC, including its actions, are transmitted to the Dean of the Graduate School and the President of the Faculty Senate;
    - f. To submit to the Dean of the Graduate School and the President of the Faculty Senate, no later than August 31, a written summary report of the GPSC's activities for the previous twelve month period.
  3. The chair may:
    - a. Call special meetings of the GPSC and set the agenda for those meetings.
    - b. Participate in the discussion of the GPSC at its meetings, unless prohibited from doing so by a vote of two-thirds of the members of the GPSC present and voting.
    - c. Vote during meetings of the GPSC.
    - d. With the approval of the GPSC, appoint the standing subcommittees or ad hoc subcommittee representatives of the faculty, student body, or administration who are not members of the Committee, provided that a majority of each committee shall be composed of members of the GPSC.
  4. The duties of the vice-chair shall be to perform the duties of the chair during the chair's temporary absence.
- B. If the office of the chair becomes vacant, the vice-chair shall assume the duties of the chair, and the GPSC shall hold a new election to determine the vice-chair's successor. If the office of the vice-chair becomes vacant, the GPSC shall elect a new vice-chair.

## SUBCOMMITTEES

### A. Standing Subcommittees.

The GPSC shall have four standing committees: Academic Program Evaluation, Graduate Admissions, Graduate Student Affairs, and Graduate Policies. The charges of the four standing sub-committees will be as follows. The Academic Program Evaluation sub-committee will review proposals for new or amended graduate and professional programs and make recommendations as to their approval; the Graduate Admissions committee will address admission issues concerning the processes and standards that pertain to the admission of graduate or professional student applicants; the Graduate Student Affairs sub-committee will consider issues that relate to the academic and work-related experience of current graduate or professional students; the Graduate Policy sub-committee will review new or amended university policies that directly or indirectly impact graduate and professional students. Most matters important to graduate education which come before the Graduate and Professional Studies Committee will be reviewed and considered by one of these committees, as decided by the Chair of the GPSC, before being brought to the full GPSC for discussion and approval. The subcommittees will submit a written report for advance distribution to GPSC members for discussion and consideration.

### B. Ad Hoc Subcommittees.

1. Subcommittees charged with reviewing and studying proposals and/or formulating recommendations shall present a written report for advance distribution to GPSC members for discussion and consideration.
2. Subcommittees dealing with specific college matters shall be composed of at least three members: one representative from the college initiating the request; and at least two other representatives, one of whom shall serve as chair of the subcommittee.
3. The Graduate and Professional Students Grievance Committee (GPSGC) is administered by the Graduate and Professional Studies Committee under the purview of the Vice Provost for Graduate and Professional Education and consists of three faculty selected by the GPSC and one student member selected from a pool of graduate students provided by the graduate school. The role of this subcommittee will be to assess grievances from graduate and professional students that have not been resolved at the College level. The GPSGC may be formed on an ad hoc basis, by a request of a student, to review all documents pertaining to a grievance, and to report its findings, the rationale for the findings, and its recommendations to the Vice Provost.
4. Since new course proposals, course changes, etc. generally affect only the program in which the course is offered, the GPSC will not ordinarily review these (CBM-003's) as long as they are submitted with a certification from the Dean of the college that the faculty of the college/department in which the proposed courses/course changes occur have approved them. The staff of the Graduate School will review these submissions for compliance. If the staff feels that a particular submission warrants further review, the Dean of the Graduate School can refer the submission to the GPSC, which will assign an ad hoc subcommittee to review it.

## **MEETINGS**

- A. The GPSC shall hold regular meetings at least four times each during each Fall and Spring semesters. The Chair shall announce, in writing, the dates of the meetings.
- B. Should need arise, the GPSC may hold special meetings upon the call from the Chair or the written petition of at least five members. The Chair or members who call the meeting shall notify the members of the GPSC when and where it is to be held at least one week in advance.
- C. At meetings of the GPSC, one-half of the membership shall constitute a quorum.
- D. All meetings shall be conducted according to the Robert's Rules of Order, Newly Revised, except where a contrary rule is provided by these Bylaws.
- E. Members shall be regular in their attendance at meetings of the GPSC. Members who are unable to attend a regularly scheduled meeting shall notify the chair as soon as possible.

## **ELECTIONS and VOTING**

- A. All elections and matters voted upon shall be determined by a majority of those voting, except where these Bylaws provide otherwise. Upon the call of five or more members, the vote shall be by written ballot.
- B. There shall be no voting by proxy.
- C. Ex-officio representatives of the University administration may participate in discussions but do not have voting privileges.

## **AMENDMENTS**

- A. These Bylaws may be amended in two ways:
  - 1. At meetings of the GPSC by two-thirds vote of the members present, provided that written notice of the proposed amendment shall have been distributed to the members of the GPSC at least one week in advance.
  - 2. By a three-fourths mail-ballot vote of the entire membership of the GPSC. Members shall have at least two weeks to cast their votes.
- B. An amendment shall become effective when approved by the Faculty Senate.

## **ADOPTION**

The GPSC's bylaws shall become effective when approved by two-thirds of the members of the committee, a majority approval by the Faculty Senate Faculty Governance Committee, the Provost, and the President of the University of Houston.

## **RESTRICTIONS**

The Constitution of the University of Houston Faculty Senate supersedes all Bylaws described herein.

## Appendix E

### Drug and Alcohol Abuse Prevention Policy (see page 179)

It is the policy of the university that illegal drug use, including their manufacture, sale, distribution, dispensation, possession, or use is prohibited in the workplace, on the campus, or as part of any university activities. Sanctions imposed for violation of this policy are indicated below.

#### The Dangers of Drug or Alcohol Abuse in the Workplace and on the Campus

There are many employed individuals whose job performance and productivity are adversely affected by the illegal, improper and/or excessive abuse of alcohol and/or use of illegal drugs. Much of this cost is in lost wages, health care expenses, and workers compensation. Additionally, the impact of drug use and high risk alcohol consumption for the college student cannot be overlooked in terms of its cost to the individual student and the institution. For specific information related to alcohol and other drug consumption and consequences, go to the Higher Education Center website at [www.edc.org/projects/higher\\_education\\_center\\_alcohol\\_drug\\_abuse\\_and\\_violence\\_prevention](http://www.edc.org/projects/higher_education_center_alcohol_drug_abuse_and_violence_prevention).

#### A. Definitions

The following terms are defined for the purposes of this policy and are important for purposes of expressing the university's policy on a drug-free workplace.

1. **Controlled Substance** means a controlled substance in schedules I through V of section 202 of the Controlled Substances Act (21 U.S.C. 812) as further defined by regulations at 21 CFR 1300.11 through 1300.15, and as defined in the Texas Controlled Substances Act [Texas Health and Safety Code, §481.001 et seq.].
2. **Contract** means a legal instrument reflecting a relationship between the federal government and a recipient whenever the principal purpose of the instrument is the acquisition by purchase, lease, or barter, of property or services for the direct benefit or use of the federal government; or whenever an executive agency determines in a specific instance that the use of a type of procurement contract is appropriate.
3. **Conviction** means finding of guilt (including a plea of *nolo contendere*) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the federal or state criminal drug statutes.
4. **Criminal drug statute** means a federal or non-federal criminal statute involving the manufacture, sale, distribution, dispensation, use, or possession of any controlled substance.
5. **Employee** means an individual receiving a salary, wages, other compensation and/or stipend support from the university.
6. **Federal agency or agency** means any United States executive department, military department, government corporation, government controlled corporation, or any other establishment in the executive branch (including the Executive Office of the President), or any independent regulatory agency.
7. **Grant** means an award of financial assistance, including a cooperative agreement, in the form of money, or property in lieu of money, by a federal agency directly to a grantee. The term grant includes block grant and entitlement grant programs, whether or not exempted from coverage under the grants management government-wide regulation ("Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). The term does not include technical

assistance that provides services instead of money; or other assistance in the form of loans, loan guarantees, interest subsidies, insurance; or direct appropriations or any veteran's benefits to individuals, i.e. any benefit to veterans, their families, or their survivors by virtue of the service of a veteran in the Armed Forces of the United States.

8. **Grantee** means a legal entity that applies for or receives a grant or contract directly from a federal agency.
9. **Student** means an individual registered or enrolled for credit or non-credit in a course or program offered by the university or any of its units.
10. **University activities** mean an activity officially sponsored by the University of Houston.
11. **Workplace** means the physical boundaries of the university and facilities owned or controlled by the university.

## B. Philosophy

The unlawful use of drugs or abuse of other drugs and alcohol is inconsistent with the behavior expected of members of the university community. The university is committed to the development and maintenance of a drug-free environment on the campus as well as an environment that prohibits the abuse of other drugs and alcohol and has a drug and alcohol abuse prevention system in operation, accessible to all members of the university community. The university is committed to the further expansion of that program and the dissemination of drug awareness information to the members of the university community. In addition, the university is committed to enforcing the provisions of the Drug-Free Workplace Act of 1989 and believes that these acts and their implementation regulations provide a proper framework for the drug and alcohol abuse policies of the university.

## C. Health Risks

Outlined below is a listing of drugs of abuse and their health risks taken from the U.S. Drug Enforcement Administration website. A more complete and detailed accounting may be found at their website at [http://www.justice.gov/dea/docs/drugs\\_of\\_abuse\\_2011.pdf](http://www.justice.gov/dea/docs/drugs_of_abuse_2011.pdf).

### **Alcohol**

Alcohol (beer, wine, or liquor) has a high potential for physical and psychological dependence as well as resulting in increased tolerance. Possible effects include impaired memory, slurred speech, drunken behavior, slowed reflexes, vitamin deficiency, and organ damage. Excessive use is linked to cancer of the throat, esophagus, liver and stomach. High blood pressure and psychological disorders can also result from excessive use of alcohol. Unintentional injuries and accidents are possible as well as violent behavior, including child abuse, homicide and suicide. Alcohol-related accidents are the number one cause of death in the 16- to 24- year age group. Alcohol use is often related to acquaintance rape and failure to protect oneself from sexually transmitted diseases (STDs).

Withdrawal symptoms may include trembling, anxiety, insomnia, vitamin deficiency, confusion, hallucinations, convulsions, and death. Overdose may result in vomiting, respiratory depression, loss of consciousness, and death.

Females who drink alcohol during pregnancy may give birth to infants with Fetal Alcohol Syndrome. These infants have irreversible physical abnormalities and mental retardation. In addition, research indicates that children of alcoholic parents are at greater risk than other



children of becoming alcoholics. Alcohol use is often related to acquaintance rape and failure to protect oneself from sexually transmitted diseases (STDs). Additionally, alcohol-related accidents are the number one cause of death in the 16– to 24– year age group.

### *Narcotics*

Narcotics (including heroin, morphine, hydrocodone, oxycodone, codeine, and others) have a high potential for both physical and psychological dependence as well as resulting in increased tolerance. The possible effects of using narcotics include euphoria, drowsiness, respiratory depression, constricted pupils, and nausea. Overdose may result in shallow breathing, clammy skin, convulsions, coma, and death. Withdrawal may include irritability, tremors, panic, nausea, chills, and sweating.

### *Other Depressants*

Other depressants (including GHB or liquid ecstasy, valium, xanax, ambien, and barbituates) have a potential for both physical and psychological dependence as well as resulting in increased tolerance. The possible side effects include slurred speech, disorientation, appearance of intoxication, and impaired memory. Overdose may result in shallow respiration, clammy skin, dilated pupils, weak and rapid pulse, coma and possible death. Withdrawal may include anxiety, insomnia, tremors, delirium, convulsions, and possible death.

### *Stimulants*

Stimulants (including cocaine, methamphetamine, and methylphenidate) have a possible risk of physical dependence and high risk for psychological dependence. Tolerance can develop in all stimulants. The possible side effects include increased alertness, excitation, euphoria, increased pulse rate and blood pressure, insomnia, and decreased appetite. Overdose may result in agitation, increased body temperature, hallucinations, convulsions, and possible death. Withdrawal may result in apathy, long periods of sleep, irritability, depression, and disorientation.

### *Hallucinogens*

Hallucinogens (including MDMA, LSD, Phencyclidine, and others) are less likely to result in physical dependence, with the exception of phencyclidines and analogs, and vary in terms of psychological dependence, ranging from none to moderate (MDMA) to high (phencyclidine and analogs). Tolerance can develop. Possible effects include heightened senses, teeth grinding, and dehydration (MDMA and analogs) and hallucinations, altered perception of time and distance in others. Overdose may result in increased body temperature and cardiac arrest for MDMA and more intense episodes for LSD. Some hallucinogens may result in muscle aches and depression when in withdrawal (MDMA) or may result in drug seeking behavior.

### *Cannabis*

Cannabis includes marijuana, tetrahydrocannabinol (THC), and hashish or hashish oil. All may result in moderate psychological dependence with THC resulting in physical dependence. Tolerance can develop in all forms. Possible effects include euphoria, relaxed inhibitions, increased appetite, and disorientation. Overdose may result in fatigue, paranoia, and possible psychosis. Withdrawal may occasionally result in insomnia, hyperactivity, and decreased appetite.



### *Anabolic Steroids*

Anabolic Steroids (including testosterone, and others) may result in psychological dependence. Less is known as to their potential for physical dependence and increased tolerance levels. Possible effects may include virilization, edema, testicular atrophy, gynecomastia, acne, and aggressive behavior. Effects of overdose are unknown. Withdrawal may possibly include depression.

### *Inhalants*

Inhalants (including amyl and butyl nitrite, nitrous oxide, and others) vary in their level of psychological dependence, with less known about their potential for physical dependence and tolerance. Possible effects may include flushing, hypotension, and headache, impaired memory, slurred speech, drunken behavior, slow onset, vitamin deficiency, and organ damage. Overdose may result in methemoglobinemia, vomiting, respiratory depression, loss of consciousness, and possible death. Withdrawal may result in agitation, trembling, anxiety, insomnia, vitamin deficiency, confusion, hallucinations, and convulsions.

## **D. Penalties for Violation of the Policy**

The university policy prohibiting the unlawful possession, use, or distribution of illicit drugs and/or alcohol on the campus and at university-sponsored events held off campus protects and supports the employees and students of the University of Houston.

Any employee who violates this policy may be subject to disciplinary action (up to and including termination), may be referred for prosecution, and may be required to satisfactorily participate in a drug and alcohol assistance or rehabilitation program, as agreed upon between the employee and the Department of Human Resources. Further information concerning employee penalties is available from the Human Resources Customer Service Center, 713-743-3988.

Any student who violates the University of Houston's Student Disciplinary Policies and Procedures regarding the unlawful possession, use or distribution of illicit drugs and alcohol on campus or at university sponsored events (see Student Disciplinary Policies and Procedures Section) may be subject to disciplinary action (up to and including expulsion), may be referred for prosecution, and may be requested to satisfactorily participate in a drug and alcohol assistance or rehabilitation program. Further information concerning student penalties is available from the Dean of Students Office at 832-842-6183.

In addition, there are penalties under Texas and federal law. For more information on the range of penalties, refer to the Dean of Students website at <http://www.uh.edu/dos/pdf/DrugPenalties2008.pdf>.

## **E. Employee and Student Assistance Programs**

The University of Houston offers the following drug and alcohol abuse information, counseling, assistance and services:

### **1. Information and Referral**

members of the university community are eligible to consult with the professional staff of the Counseling and Psychological Services (CAPS) regarding the availability of drug abuse assistance programs. Drug and alcohol abuse counseling and rehabilitation program referrals are routinely made to mutual help organizations, private hospitals, public

treatment programs, and private drug treatment practitioners. CAPS also maintains a collection of resource materials pertinent to issues of drug abuse. In addition, UH Wellness, the campus wide education and prevention program, provides education and prevention on alcohol / drug abuse and related concerns for the campus community and maintains a library of materials on substance use and abuse.

## 2. **Individual Counseling**

Individuals are seen on a short-term basis for assistance with drug-related problems. However, it is likely CAPS will make a referral for alcohol and drug addiction. This service is available to students at no charge. Faculty and staff are able to receive an initial evaluation and referral for such services.

## 3. **Group Counseling**

There is an Alcoholics Anonymous (AA) chapter which meets on campus periodically. When unavailable on campus, referrals can be made to local AA or NA chapter meetings with the Greater Houston Community. This service is free to University of Houston students, faculty, and staff. An individual may also call AA Intergroup at 713-686-6300 to get a referral to an AA group meeting nearby.

## 4. **Psycho-Educational Programs**

On a periodic basis, group programs focusing on the development of strengths and skills related to the effective management of drug related problem areas are offered by the Counseling and Psychological Services and UH Wellness. These programs are open to University of Houston students, faculty, and staff at no charge. UH Wellness offers an evidence based alcohol education intervention to student groups every semester. Additionally, a computer interactive program entitled Alcohol 101 is available through UH Wellness. UH Wellness conducts exit interviews for students who complete the Marijuana 101 online workshop as a result of a disciplinary referral from the Dean of Students Office. UH Wellness also offers an approved Alcohol Education Course for Minors in Possession available to students who receive a court ordered citation or referrals from the Dean of Students Office or other campus departments.

## 5. **Mutual Health Groups**

Individuals can be assisted in forming groups like Alcoholics Anonymous and Alanon and information concerning these groups is maintained for dissemination to interested persons.

## F. **Application of Policy**

The Drug and Alcohol Abuse Prevention Policy is supported by a drug-free awareness and alcohol education and prevention program available to the faculty, staff, and students of the University. Specific compliance and reporting items enumerated below (items 2, 3, 4, 5) are applicable to all persons employed on federal contracts and grants. In support of this policy, the university:

1. Has established a drug-free and alcohol abuse awareness program to inform its faculty, staff, and students about the dangers of drug and alcohol abuse in the workplace, the university's policy of maintaining a drug-free workplace and a workplace which prohibits the illicit use of alcohol, available drug and alcohol counseling, rehabilitation, and employee assistance programs, and the penalties that may be imposed upon employees for drug and alcohol abuse violations.

2. Will provide each student and employee a copy of this policy. In addition, all faculty, staff, and students will be notified of this policy through appropriate publications.
3. Will notify each university employee and each student that, as a condition of employment on a federal grant or contract, the person, once so employed, must abide by the terms of the policy and must notify his/her supervisor and the Department of Human Resources of any criminal drug statute conviction for a violation occurring in the workplace not later than five days after such conviction.
4. Will notify the appropriate federal agency within ten days after receiving notice of criminal drug statute conviction of any university employee engaged in performance of the grant or contract.
5. Will impose sanctions on or require the satisfactory participation in a drug abuse assistance or rehabilitation program by any employee so convicted. Sanctions imposed on employees for violation of this policy may include suspension, suspension without pay, and termination.
6. Will make a good faith effort to continue to maintain an environment that complies with the Drug-Free Workplace Act of 1988 and the Drug-Free Schools and Communities Act of 1989.
7. Will conduct a biennial review of its programs to assess their effectiveness, determine what changes need to be made, and ensure the uniform application of sanctions to employees and students.

#### **G. Implementation**

Implementation of this policy is a joint responsibility of the Department of Human Resources, the Division of Research, the Police Department, the Office of Financial Aid, and the Division of Student Affairs. Notification of the program, including information about health risks and sanctions for violation of the policy, will be provided annually to students and employees. In addition, the university is committed to monitoring and assessing the effectiveness of this program. A biennial review of the program will be undertaken to determine its effectiveness and implement changes to the program if they are needed and to ensure that its disciplinary standards are consistently enforced.

# Index

AAUP Ethics and Traditions of Academia	118
Absence, Leaves of	99
Academic Administrative Salaries, University of Houston System Guidelines on	187
Academic Calendar and Course Listings	151
Academic Ethics, Professional Responsibilities and	106-128
Academic Excellence Award	148-149
Academic Freedom	41, 118
Academic Honesty Policy	160-171
Academic Personnel Policies and Procedures	41-105
Academic Policies and Procedures Subcommittee (Undergraduate Committee)	237-238
Academic Policies	40
Academic Programs (statistics)	29
Academic Support	205
Academic Workload	106-115
Accessing network and internet resources	209
Accessing Resources (IT)	208
AccessUH	208
Accommodation for Faculty	32
Accommodations for Students	150-151, 174
Accommodations (hotel)	217
Accountability/Reporting of Faculty Academic Workload	109
Accreditation	30
Accuplacer	173
Additional Compensation Policy for Faculty	187
Additional Compensation	189
Adequate Cause (Justification of Dismissal)	87
Adjunct Faculty (Designations)	42-43
Administration, University of Houston System	25
Administration, University of Houston	26-28
Administrative Officers	23-28
Administrative Policies	40
Administrative Salaries, University of Houston System Guidelines on Academic	187
Administrative Stipends Attached to Specific Offices	187
Administrative/Medical Withdrawal Policy for Graduate/ Professional Students	157
Administrative/Medical Withdrawal Policy for Undergraduate Students	157
Administrators with Faculty Rank	51
Administrators, Development Leave for	100
Advancement, Division of	136
Advising Award, Provost Faculty	147-148
Advisory Committees to the Executive Vice President for Administration and Finance	38
Affirmative Action Procedures on Search Committees	50
Affordable Care Act (ACA)	191
AIDS	180-181
Alcohol Abuse Prevention Policy, Drug and	179, 244-249
Alcoholic Beverages on Campus	179
Alcoholic beverages, Itemized (Discretionary Expenditures)	183

Alias	208
Allegations of Research Misconduct, Responding to	121-125
Alterations in Conditions of Employment	95-105
Alumni Association, University of Houston	37
Alumni Career Services	195
Amending Policies Regarding Faculty Roles	40
American Association of University Professors - AAUP Ethics and Traditions of Academia	118
Amplified Sound (Freedom of Expression)	158-159
Annual Notification - Drug and Alcohol Abuse Prevention Policy	249
Annual Reporting of Consulting and Paid Professional Service Activities	126
Annuities and Tax-Deferred Compensation, Tax-Deferred	193-194
Appeals/Citations	200
Appendix A: Faculty Senate Constitution	35, 220-229
Appendix B: Bylaws of the Research and Scholarship Committee	230-234
Appendix C: Undergraduate Committee Bylaws	235-239
Appendix D: Graduate and Professional Studies Committee Bylaws	240-243
Appendix E: Drug and Alcohol Abuse Prevention Policy	179, 244-249
Applicant's Portfolio/Electronic Folder (Promotion and Tenure)	72-74
Appointment (Definitions)	42
Appointment with Tenure	63
Apportionment among Authors (Copyrights)	142
Approval of Advertising and Public Relations Services	184
<a href="#">Architecture and Art Library, William R. Jenkins</a>	205
Arts Facilities	214
Assembly of the Faculty	223-224
Assessment Services, Learning and	172-173
Assistance Programs, Employee/Student (Drug and Alcohol Abuse Prevention Policy)	247
Assistant Professor (Designations)	42
Associate Professor (Designations)	42
Athletics/Alumni Center	215
ATMs	199
Authors, Apportionment among (Copyrights)	142
Award, Academic Excellence	148-149
Award, Esther Farfel	145
Award, Grant to Enhance and Advance Research (GEAR)	130
Award, John and Rebecca Moores Professors	145
Award, New Faculty Research Program	131
Award, QEP Curriculum Development Grant Program	131
Award, Small Grants Program (SGP)	131-132
Awards (Discretionary Expenditures)	183
Awards for Excellence in Research, Scholarship or Creative Activity	147
Awards, Faculty	145-149
Awards, Mentoring	148
Awards, Women and Gender Resource Center Distinguished Faculty Scholar	148
Banners, Posters (CreationStation)	176
Barnes and Noble	176
Barron's – Dining Option	217
Benefit Options, Group	190
Benefits	187-194

Blackboard Online Course System	210
Blaffer Art Museum at the University of Houston	214
Board of Regents	24
Board of Regents Officers	23
Boards, Institutional Review	135-136
Books (Library)	207
Bookstore	176, 207
Budget and Facilities Committee (Faculty Senate)	227
Business Participation	144
Bylaws of the Research and Scholarship Committee	230-234
Calendar and Course Listings, Academic	151
Campus Facilities, Scheduling of	205
Campus Recreation	215
Campus Recruitment	195
Caps - Counseling and Psychological Services	195
CAPS (Drug and Alcohol Abuse Prevention Policy)	248
Career Fairs/Resource Library	195
Career Services, Alumni	195
CART - Conduct Assessment and Response Team	158
Catering	217
Center for Diversity and Inclusion	175
Center for Fraternity and Sorority Life	176
Center for Student Involvement	176
Center for Student Media	176
Center for Students with DisABILITIES	150-151, 174
Centers/Institutes Representative (Research & Scholarship Committee)	231
Chair (Graduate & Professional Studies Committee)	241
Chair (Research & Scholarship Committee)	231-232
Chair (Undergraduate Committee)	236-237
Chair, Change in the Role of Elected Committee (Faculty Senate)	228
Challenger Program	173
Change in the role of Elected Committee chair (Faculty Senate)	228
Charge, Purpose/ (Graduate & Professional Studies Committee)	240
Charter School, University of Houston	196
Child Care and Child Educational Services	196
Child Care/Education - Children's Learning Center	196
Child Care/Education - University of Houston Charter School	196
Children's Learning Center	196
Citations/Appeals	200
Class Schedule	151
Class size (table)	113
Classroom and Laboratory Examinations	154
Classroom Protocol	153
Classroom Technology	209
CLEP	173
Clinic, University Speech, Language, and Hearing	197-198
Clinical Faculty (Designations)	43
Clinical Faculty	53-54
Club memberships (Discretionary Expenditures)	183

Coalition on Intercollegiate Athletics Membership (Faculty Senate)	229
COBRA (effect of leave)	97-98
College and Department Bylaws	39
Commercialization of Board-Owned Intellectual Property & Copyrighted Material	143
Commission on Colleges	30
Committee Chair, Change in the role of elected (Faculty Senate)	228
Committee in case of financial exigency/discontinuance of academic unit (Faculty Senate)	229
Committee, Faculty Handbook Revision	219
Committee, Safety and Security	203
Committee, to create Standing	36
Committees for the Protection of Human Subjects	135
Committees List, Office of the Executive Vice President for Administration and Finance	37
Committees List, Office of the President	36
Committees List, Office of the Senior Vice President for Academic Affairs and Provost	36
Committees List, Office of the Vice President for Research and Technology Transfer	37
Committees List, Office of the Vice President for Student Affairs	37
Commons, Learning	206
Communication	212
Community and Government Relations Committee (Faculty Senate)	227
Community Service (table)	115
Compensation Policy for Faculty, Additional	187
Compensation	187-189
Compensation, Additional	189
Computer, Use/Removal (State Property)	205
Conduct Assessment and Response Team (CART)	158
Conduct, Set a High Example of Professional	150
Conduct, Standards of	119
Conference and Reservation Services (Hilton)	217
Conference and Reservation Services (Student Center)	175-176
Conferences (Discretionary Expenditures)	183
Confidential Information, Protection of	116
Confidentiality of Student Records	152-153
Conflicts of Interest	119-120
Constitution, Faculty Senate	35, 220-229
Construction	201
Consultation with Students (Responsibilities to Students)	150
Consulting and Paid Professional Service Activities, Annual Reporting of	126
Consulting	125-126
Contacting UHDPS and Informational Resources	201
Contract Administration Policy	182
Contracts, Research Grants/	133
Convenience Store	176
Copy Services	199
Copyrights and Copyright Infringement Laws	144
Copyrights	140-143
Core Curriculum Subcommittee (Undergraduate Committee)	237-238
Cougar Byte	210
Cougar Card	199
Cougar Field	216



Cougar Softball Field	216
CougarByte Technology Store	176
Cougar-Grounds – coffee shop	217
Cougarnet	208
Counseling (Drug and Alcohol Abuse Prevention Policy)	248
Counseling and Psychological Services	172, 195
Course Listings, Academic Calendar and	151
Course/Faculty Evaluation (Measurement and Evaluation Center)	117
CreationStation	176
Creator's Residual Economic Interest	143-144
Credit Union, TDECU	176
Criminal Background Checks	49
Criminal Investigations (UHPD)	202
Crisis Intervention	195
Criteria and Standards for Promotion and Tenure	61
Cullen Performance Hall	214
Curriculum Vitae (required information for instructor of undergraduate course)	116
Cynthia Woods Mitchell Center for the Arts	214
Danger, call 911	186, 195
Dangers of Drug or Alcohol Abuse in the Workplace and on the Campus	244
Dean of Students Office	175
Debarment and Suspension	184
Decision-making Cycle	39
Definition (for UH Standing Committees)	35
Definition of eligible faculty member (Faculty Senate)	227
Degree Programs/CBM003 Subcommittees (2), (Undergraduate Committee)	237-238
Degree Revocation Policy, University of Houston	171
Degrees Awarded (statistics)	29
Department Bylaws, College and	39
Departmental Mail Card (DMC)	212
Departmental/College Reviews	68-70
Designations of Faculty Positions/Titles	42-44
Development Leave for Administrators	100
Development Leave, Faculty	99-100
Dining Services	217
Direct Payroll Deposit	187
Disabilities, Accommodating Students who Have	150-151
Disciplinary action (University Hearing Board)	171
Discontinuance of Academic Programs (Justification of Dismissal)	87
Discontinuance Policy	93-95
Discretionary Expenditures, Official Functions and	183
Discrimination and Harassment Policy	31
Discrimination Training, Mandatory Employment	57-58
Dismissal (Designations)	44
Dismissal for Cause	87
Dismissal for Medical Reasons	90
Dismissal for Reasons of Financial Exigency or Discontinuance of a Program	90
Dismissal Hearing Procedures	87-89
Dismissal of Faculty with Tenure/Special /Probationary Appoint before End of Specified Term	87

Dismissal, Faculty	86-89
Disputes, Resolution of Copyright or Equity	142-143
Disruptive Behavior	158
Distinguished and Named Professors	45-46
Distribution of Student Work, Posting of Grades	154
Division of Advancement	136
Division of Research (DOR)	132-133
DOR - Division of Research	132-133
Dropping Courses	155-157
Drug and Alcohol Abuse Prevention Policy	179, 244-249
Drug and Alcohol Abuse Prevention	179, 244-256
Dudley Recital Hall	214
Due Process and Grievance Procedures (Evaluation of Tenured Faculty)	78
Duties, Reassignment of (External Funding/Research)	100
Duty to Act and Report (Discrimination and Harassment and Sexual Misconduct)	31-32
Educational Resources Information Center (ERIC)	206
Eduroam	209
Elections/Voting (Graduate & Professional Studies Committee)	243
Elections/Voting (Research & Scholarship Committee)	233
Electronic Folder, Applicant's Portfolio/ (Promotion and Tenure)	72-74
Electronic Gradebook (Measurement and Evaluation Center)	117
Eligible Faculty Member (Faculty Senate - Definition)	227
Eligibility for Employment	48
Elizabeth D. Rockwell Pavilion	206
Email	208
Emergency Leave (Temporary Leave)	98
Emergency Management	201
Emergency	186, 195
Emeritus Status	47
Employee and Student Assistance Programs	179-180
Employee/Student Assistance Programs (Drug and Alcohol Abuse Prevention Policy)	247
Employment of Non-citizens	48
Employment, Eligibility for	48
Enterprise Systems (ES) designs (IT)	208
Entertaining official university guests (Discretionary Expenditures)	183
Environmental Health and Life Safety	177-181
Equal Opportunity Policy, Sanction of Faculty for Violating	32
Equal Opportunity Services, Office of	31-33
Equipment (IT)	209
ERIC - Educational Resources Information Center	206
Eric's Restaurant– Dining Option	217
ERS	190
Esther Farfel Award	145
Ethics and Traditions of Academia, AAUP	118
Evaluation Center, Measurement and	117, 173
Evaluation of Tenured Faculty, UH Performance	76-78
Evaluation, Course/Faculty (Measurement and Evaluation Center)	117
Evaluation, Program	118
Evaluations of Teaching, Student	157

Events, Requests for Police Services during Special	202
Exam Scoring (Measurement and Evaluation Center)	117
Examinations, Classroom and Laboratory	154
Examinations, Final	153-154
Executive Committee (Faculty Senate)	222-223
Exigency Policy, Financial	91-93
Expectations of Faculty (Responsibilities to Students)	150
Expectations of Faculty with Teaching Responsibilities	41
Expenditures, Official Functions and Discretionary	183
Expression, Freedom of	158-159
Extended Illnesses	102-103
Extension of Probationary Period for Childbirth or Adoption	66
Extension of the Probationary Period for Emergencies, Policy on	66
External Funding	132-135
External Funding, Salary Support from	134
External Funding/Research, Reassignment of Duties	100
External Funds, Processing of	133
External Reviews (Promotion and Tenure)	71-72
Facilities Management	200
FIX-IT (Repairs)	201
Facilities	214-217
Facilities, Planning and Construction	201
Facilities, Scheduling of Campus	205
Faculty (statistics)	29
Faculty Administrators	187
Faculty Affairs Committee (Faculty Senate)	227
Faculty Appointments	42-44
Faculty Appointments, Workload Matrix Examples for Full-Time	107
Faculty Assembly	223-224
Faculty Awards	145-149
Faculty Development Initiative Program (FDIP)	130
Faculty Development Leave	99-100
Faculty Dismissal Policies Related to Discontinuance	95
Faculty Dismissal	86-89
Faculty Experts	213
Faculty Governance Committee (Faculty Senate)	223
Faculty Grievance Committee	228
Faculty Handbook Revision Committee	219
Faculty Handbook, Guidelines for Revision of	218
Faculty Handbooks, Suggestions for Future	219
Faculty Position Approval and Search Procedures	50
Faculty Research Excellence Awards (Research & Scholarship Committee)	230
Faculty Role in Shared Governance (Faculty Senate)	220
Faculty Senate Constitution	35, 220-229
Faculty Senate	35
Faculty Travel Fund, Provost	132
Faculty Travel	128
Faculty Workload, Accountability and Reporting of Academic	109
Faculty, Accommodation for	32

Faculty/Staff Parking Permits	200
Fair Use, Rights to (Copyrights)	142
Family and Medical Leave	103
Family Educational Rights and Privacy Act of 1974 (FERPA, 20 U.S.C. § 1232g )	152-153
Farfel Award, Esther	145
FDIP - Faculty Development Initiative Program	130
<a href="#">Federal and Texas Penalties</a> (Drug and Alcohol Abuse Prevention Policy)	247
Fellowship, Graduate Tuition	58
FERPA - Family Educational Rights and Privacy Act of 1974	152-153
Final Examinations	153-154
Financial and Other Services	199-213
Financial Exigency (Justification of Dismissal)	87
Financial Exigency Policy	91-93
Financial Institution	199
Financial Responsibility	182
Fire and Life Safety Standards	203
Fire Marshal's Office	203-204
Fiscal Responsibility	133-134
Flowers (Discretionary Expenditures)	183
Focus Groups (Measurement and Evaluation Center)	117
Food - Dining Services	217
Food Courts	175-176
Food Services	217
Formal Process (Grievance)	79-81
Fraudulent Acts, Reporting/Investigating	32-33
Freedom of Expression	158-159
Freedom to Publish	129
Functions and Discretionary Expenditures, Official	183
Funding, External	132-135
Funding, Faculty Development Initiative Program (FDIP)	130
Funding, Internal	130-131
Games Room	176
GEAR - Grant to Enhance and Advance Research	130
Gender Resource Center Distinguished Faculty Scholar Awards, Women and	148
General Grievance Procedures	81-83
General Information	23-24
Gifts to university personnel (Discretionary Expenditures)	183
Governance Bodies, Other University	37
Governance, Principles of Shared (Faculty Senate)	222
Governance, Role of Faculty in Shared (Faculty Senate)	220
Governmental Appearances	184
GPSC - Graduate and Professional Studies Committee (Faculty Senate)	226-228
GPSC - Graduate and Professional Studies Committee Bylaws	240-243
Gradebook, Electronic (Measurement and Evaluation Center)	117
Grades Posting/Distribution of Student Work	154
Graduate and Professional Studies Committee (Faculty Senate)	226-228
Graduate and Professional Studies Committee Bylaws	240-243
Graduate Regulations and Policies, Summary of University	58-59
Graduate Student Assistantships	56-57

Graduate Tuition Fellowship	58
Graduate Work by Faculty	189
Graduate, Professional & Post-baccalaureate Students Grievance Policy for	83-85
Grant Program, QEP Curriculum Development	131
Grant to Enhance and Advance Research (GEAR)	130
Granting Agency, Responsibility to the	133
Grants (table)	114
Grants/Contracts, Research	133
GRE	173
Grievance - Formal Process	79-81
Grievance - Informal Process	79
Grievance Committee, Faculty	228
Grievance in Promotion and Tenure Matters	75
Grievance Policy for Graduate, Professional & Post-baccalaureate Students	83-85
Grievance Procedures, UH General	81-83
Grievance, Ombudsperson	33-34
Grievances	79-85
Group Benefit Options	190
Group Insurance Plans	190
Guidelines for Revision of Faculty Handbook	218
Guidelines, Promotion and Tenure	68-77
Handbook, Guidelines for Revision of Faculty	218
Handbook, Suggestions for future Faculty	219
Harassment Policy, Discrimination and	31
Health and Life Safety, Environmental	177-181
Health Center and Pharmacy, University	197
Health Risks (Drug and Alcohol Abuse Prevention Policy)	245-247
Health Services	197-198
Hearing Board, University	171
Hearing Clinic, University Speech, Language, and	197-198
Help Desk, IT Support Center	210
Help, Ombudsperson	33-34
High Performance Computing (HPC) (IT)	208
<a href="#">Higher Education Center website</a> (Drug and Alcohol Abuse Prevention Policy)	244
Hilton University of Houston	217
History of University of Houston	29
HIV	180-181
Hofheinz Pavilion	215
Holy Days Policy, Religious	151
Honesty Policy, Academic	160-171
Hotel - Hilton University of Houston	217
Houston Metropolitan Research Center	207
Houston Public Library	207
Houston Public Media: KUHT TV8, KUHF News 88.7and KUHA Classical 91.7	215
HUBs	214
Human Subjects	135
IACUC - Institutional Animal Care and Use Committee	135-136
Identification Card - Cougar Card	199
Illnesses, Extended	102-103

Imminent Danger, call 911	186, 195
Incomplete (I) Grades	154-155
Index	250-268
Indirect Cost Recovery	132
Informal Process (Grievance)	79
Information Technology (UIT) and Departmental IT, University	207-211
Inspections (Fire and Life Safety)	203
Institutes/Centers representative (Research & Scholarship Committee)	231
Institutional Animal Care and Use Committee	135-136
Institutional Biosafety Committee	178
Institutional Review Boards	135-136
Institutional Service (table)	115
Institutional Tests (Measurement and Evaluation Center)	117
Instructional Faculty	43, 54-56
Instructor (Designations)	42
Insurance Plans, Group	190
Insurance, Travel	191
Integrity Policy, Procurement	126-127
Intellectual Property & Copyrighted Material, Commercialization of Board-Owned	143
Intellectual Property	136-139
Interagency Transfer of Sick Leave	101-102
Inter-institutional Agreements	127
Interlibrary Loan	207
Internal Funding	130-131
Internal Grants Programs (Research & Scholarship Committee)	230
International Student and Scholar Services Office (ISSSO)	174-175
Internet resources, Accessing network and	209
Internships	175, 195
Investigations (UHPD)	202
IT - Information Technology (UIT) and Departmental IT, University	207-211
IT Networks	209
IT Resources	210-211
IT Security	210-211
IT Support Center Help Desk	210
JOBank	175
John and Rebecca Moores Professors	145
Joint Appointments (Designations)	44
Jury and Witness Service (Temporary Leave)	98
Justifications (of Dismissal)	86-87
Keys (for office/building)	201
KUHA Classical 91.7	215
KUHF News 88.7	215
KUHT TV8	215
Laboratory Examinations, Classroom and	154
Language of Teaching Personnel, Primary Spoken	48-49
Language, and Hearing Clinic, University Speech,	197-198
Large Class Multiplier	113
<a href="#">Law Center Library, O'Quinn</a>	205
Learning and Assessment Services	172-173

Learning Center, Children's	196
Learning Commons	206
Learning Support	172-173
Learning through Discovery Initiative	131
Leave for Administrators, Development	100
Leave Policy, Sick	100-101
Leave Pool, Sick	102
Leave, Faculty Development	99-100
Leave, Emergency Leave (Temporary Leave)	98
Leave, Family and Medical	103
Leave, Interagency Transfer of Sick	101-102
Leave, Jury and Witness Service (Temporary Leave)	98
Leave, Military Duty (Temporary Leave)	99
Leave, Parental	104
Leave, Seeing-Eye Dog Training (Temporary Leave)	99
Leave, Volunteer Fireman Training (Temporary Leave)	99
Leaves of Absence	99
Leaves without Pay	97-99
Leaves, Extended Illnesses	102-103
Lecturer (Designations)	42
Letter from the University of Houston Faculty Senate President	3
Letter from University of Houston System Chancellor and University of Houston President	2
LGBT Resource Center	176
Liability	191-192
Librarians	56
<a href="#">Library, M.D. Anderson</a>	205
<a href="#">Library, Music</a>	205
<a href="#">Library, O'Quinn Law Center</a>	205
<a href="#">Library, Weston A. Pettey Optometry</a>	205
<a href="#">Library, William R. Jenkins Architecture and Art</a>	205
Life Safety, Environmental Health and	177-181
Lync	209
<a href="#">M.D. Anderson Library</a>	205
Make-up exams (University Testing Services)	173
Mandatory Employment Discrimination Training	57-58
Mathematica	210
McAfee Virus Scan	210
Meal plans	217
Meals, Business (Discretionary Expenditures)	183
Measurement and Evaluation Center	117, 173
Media Relations	212-213
Mediasite Lecture Capture	209
Medical Leave, Family and	103
Medical Reasons (Justification of Dismissal)	87
Medical/Administrative Withdrawal Policy for Graduate/ Professional Students	157
Medical/Administrative Withdrawal Policy for Undergraduate Students	157
Meetings (Graduate & Professional Studies Committee)	243
Meetings (Undergraduate Committee)	238-239
Meetings/Voting (Faculty Senate)	224



Membership (Faculty Senate)	220-222
Membership (Graduate & Professional Studies Committee)	240-241
Membership (Research & Scholarship Committee)	230-231
Membership (Undergraduate Committee)	235
Mentoring Awards	148
Metro Services/Metro Q-Card	200
Microsoft Office and for Home Use	210
Military Duty (Temporary Leave)	99
Minutes of Faculty Senate meetings (Faculty Senate)	228
Misconduct Policy, Sexual	31
Misconduct, Responding to Allegations of Research	121-125
Misconduct, Responsibility to Report	122-123
Mission (University of Houston)	22
Moore's Opera House	214
Moore's Professors, John and Rebecca	145
Moving and Relocation Expenses	51
<a href="#">Music Library</a>	205
Mutual Health Groups (Drug and Alcohol Abuse Prevention Policy)	248
MySafeCampus	33
Named Professors, Distinguished and	45-46
Nepotism Policy	48
Net Income Distribution	143-144
Network and internet resources, Accessing	209
Networks (IT)	209
New Faculty Research Program	131
No Guns on Campus	185-186
Nominated to Committees, other (Faculty Senate)	228
Non-citizens, Employment of	48
Non-discrimination, Statement of	31
Non-mandatory Reviews (Promotion and Tenure)	71
Non-reappointment (Designations)	44
Non-renewal of Appointment of a Tenure Track Faculty Member	64-65
Non-tenure Track (Designations)	42
Notary Service	199
Note to Faculty	4
OCG - Office of Contracts and Grants	132-133, 179
Office of Equal Opportunity Services	31-33
Officers (Faculty Senate)	222
Officers (Graduate & Professional Studies Committee)	241
Officers (Research & Scholarship Committee)	231-232
Officers (Undergraduate Committee)	236-237
Officers Duties (Faculty Senate)	225-226
Official Functions and Discretionary Expenditures	183
Ombudsperson	33-34
Online Accessibility (College/Department Bylaws)	39
<a href="#">Online Library Catalog</a>	206
Optional Retirement (effect of leave)	97-98
Optional Retirement Program	193
<a href="#">Optometry Library, Weston A. Pettey</a>	205

ORP - Optional Retirement Program	193
OS X	210
Ownership of Copyrights	140
Parental Leave	104
Parking and Transportation Services	200
Parking Enforcement	203
Parking Permits, Faculty/Staff	200
Part-Time Faculty	43, 56
Password Reset	208
Payments to Human Subjects	135
Peer Tutoring (Challenger Program)	173
<a href="#">Penalties, Federal and Texas</a> (Drug and Alcohol Abuse Prevention Policy)	247
Performance Evaluation of Tenured Faculty	76-78
Personnel Policies and Procedures, Academic	41-105
Personnel Records	51
Pharmacy, University Health Center and	197
Philosophy of Drug and Alcohol Abuse Prevention Policy	245
Phone - Lync	209
Police – contacting	201
Police Services during Special Events	202
Policies and Procedures, University	40
Policy (Definition)	40
Portfolio/Electronic Folder, Applicant's (Promotion and Tenure)	72-74
Postage	212
Postal Services Department, Printing and	212
Posted, Curriculum Vitae (required information for instructor of undergraduate course)	116
Posted, Syllabus (required information for undergraduate course)	116
Posted, Undergraduate Course Information on UH Website	116
Posters, Banners (CreationStation)	176
Posting of Grades/Distribution of Student Work	154
Post-tenure Performance Review	76-78
Preface	1
Presidents, University of Houston System	25
Primary Spoken Language of Teaching Personnel	48-49
Principles of Shared Governance (Faculty Senate)	222
Printing and Postal Services Department	212
Printing Policy	184
Probationary Period for Childbirth or Adoption, Extension of	66
Probationary Period for Emergencies, Extension of the	66
Probationary Period	63-64
Probationary Period, Reviews during	64
Procedure (for UH Standing Committees)	35-36
Procurement Integrity Policy	126-127
Professional Development, Service and	115
Professional Responsibilities and Ethics	106-128
Professional Service (table)	115
Professors (Designations)	42
Professors, Distinguished and Named	45-46
Program Evaluation	118

Promotion (Designations)	44
Promotion and Tenure Committee	66-67
Promotion and Tenure Guidelines	68-77
Promotion and Tenure Matters, Grievance in	75
Promotion and Tenure	60-77
Promotion and Tenure, Criteria and Standards for	61
Property, Use/Removal State	205
Protection of Confidential Information	116
Provost Faculty Advising Award	147-148
Provost Faculty Travel Fund	132
Psycho-Educational Programs (Drug and Alcohol Abuse Prevention Policy)	248
Psychological Research and Services Center	195
Psychological Services, Counseling and	195
Publications and Approval	211
Publish, Freedom to	129
Purchasing Department	213
Purchasing Policy for Sponsored Program Funds	134
Purpose (Research & Scholarship Committee)	230
Purpose/Charge (Graduate & Professional Studies Committee)	240
Q-Card, Metro Services/Metro	200
QEP Curriculum Development Grant Program	131
Radiation Safety Committee	178-179
Raises - Salary Increments for Faculty	187
Reassignment of Duties (External Funding/Research)	100
Receptions (Discretionary Expenditures)	183
Records, Confidentiality of Student	152-153
Records, Personnel	51
Recruiting New Faculty (Discretionary Expenditures)	183
Recruitment, Campus	195
Religious Holy Days Policy	151
Relocation Expenses, Moving and	51
Removal of State Property from Campus	205
Renovations	201
Repairs, FIX-IT	201
Report, Duty to Act and (Discrimination and Harassment and Sexual Misconduct)	31-32
Reporting of Consulting and Paid Professional Service Activities, Annual	126
Reporting/Investigating Fraudulent Acts	32-33
Requests for Police Services during Special Events	202
Research and Scholarship Committee (Faculty Senate)	226-227
Research and Scholarship Committee Bylaws	230-234
Research at the University of Houston, Sponsored	132-133
Research Centers and Institutes Representative (Research & Scholarship Committee)	231
Research Faculty Representative (Research & Scholarship Committee)	231
Research Faculty	51-53
Research Grants/Contracts	43, 133
Research Oversight Committees	178
Research	129-149
Research, Grant to Enhance and Advance (GEAR)	130
Research, Scholarship or Creative Activity, Awards for Excellence in	147

Research/ External Funding, Reassignment of Duties	100
Research/ Scholarship Products and Dissemination (table)	114
Research/Scholarship Activities	113-115
Research/Scholarship	108
Reservation Services, Conference and (Hilton)	217
Reservation Services, Conference and (Student Center)	175-176
Reservations of Campus Facilities	205
Resignation (Designations)	44
Resources - IT	210-211
Responsibilities and Ethics, Professional	106-128
Responsibilities to Students	150-176
Responsibility to Report Misconduct	122-123
Responsibility to the Granting Agency	133
Responsibility, Fiscal	133-134
Restaurant - Dining Services	217
Resume Services	195
Retail	176
Retention of All Evaluated Student Material, Return and/or	150
Retirement	193-194
Retreats (Discretionary Expenditures)	183
Return and/or Retention of All Evaluated Student Material	150
Review Boards, Institutional	135-136
Reviews during Probationary Period	64
Reviews, Departmental/College	68-70
Reviews, Non-mandatory (Promotion and Tenure)	71
Reviews, University (Promotion and Tenure)	70-71
Revision of Faculty Handbook, Guidelines for	218
Revocation Policy, University of Houston Degree	171
Rockwell Pavilion, Elizabeth D.	206
Role of Faculty in Shared Governance (Faculty Senate)	220
SACS - Southern Association of Colleges and Schools	30
Safety and Security Committee	203
Safety Compliance Assistance	179
Safety, Environmental Health and Life	177-181
Salary Increments for Faculty	187
Salary Support from External Funding	134
Sanction of Faculty for Violating Equal Opportunity Policy	32
Scanning Services, University	118
Scheduling of Campus Facilities	205
Scholarships and Financial Aid (job postings)	175
School, University of Houston Charter	196
Scoring, Exam (Measurement and Evaluation Center)	117
Search Procedures, Faculty Position Approval and	50
Seeing-Eye Dog Training (Temporary Leave)	99
Seminars (Discretionary Expenditures)	183
Senators (Faculty Senate)	220-222
Separation (Designations)	44
Service and Professional Development	108-109, 115
Service, Community (table)	115

Service, Institutional (table)	115
Service, Professional (table)	115
Sexual Misconduct Policy	31
SGA - Student Government Association	38, 175
Shared Governance	35-39
Shared Governance, Principles of (Faculty Senate)	222
Shared Governance, Role of Faculty in (Faculty Senate)	220
Shuttle Services	200
Sick Leave Policy	100-101
Sick Leave Pool	102
Sick Leave, Interagency Transfer of	101-102
SkillPort eLearning	210
Small Class Deflater (table)	113
Small Grants Program (SGP)	131-132
Smoking	181
Social Functions (Discretionary Expenditures)	183
Social Security	194
Software	210
Sound, Amplified (Freedom of Expression)	158-159
Southern Association of Colleges and Schools (SACS)	30
SPEAK test	48-49
Special Collections Department (Library)	206
Special Events, Requests for Police Services during	202
Sponsored Program Funds, Purchasing Policy for	134
Sponsored Research at the University of Houston	132-133
Sports Facilities	215
Staff (statistics)	29
Staff Council	38
Standards for Promotion and Tenure, Criteria and	61
Standing Committee on Intellectual Property	138
Standing Committee, to create	36
State Contributions	190
State Property, Use/Removal	205
Statement of Non-discrimination	31
Strangers - Unauthorized Person: Refusal of Entry, Ejection, and Identification	202
Student Center	175
Student Center Satellite	176
Student copyrights as a result of course work	141
Student Employment	175
Student Government Association	38, 175
Student Learning Assistance	172-173
Student Material, Return and/or Retention of All Evaluated	150
Student Records, Confidentiality of	152-153
Student Services	172-176
Student Success Subcommittee (Undergraduate Committee)	237-238
Student Work, Posting of Grades/Distribution of	154
Students (statistics)	29
Students who Have Disabilities, Accommodating	150-151
Students with DisABILITIES, Center for	150-151

Students, Responsibilities to	150-176
Subcommittees (Graduate & Professional Studies Committee)	242
Subcommittees (Research & Scholarship Committee)	232-233
Subcommittees (Undergraduate Committee)	237-238
Suggestions for future Faculty Handbooks	219
Support of Research/Scholarship (table)	114
Survey Research	118
Suspension, Debarment and	184
Syllabus (ADA Suggested Wording)	151
Syllabus (required information for undergraduate course)	116
Table of Contents	5-21
Tax-Deferred Annuities and Tax-Deferred Compensation	193-194
TDECU Credit Union	176, 199
TDECU Stadium	215
Teacher Retirement System	193
Teacher's Retirement System (effect of leave)	97-98
Teaching Equivalencies	111-112
Teaching Excellence Awards	145-147
Piper Professor Award	147
Teaching Relief Program	104-105
Teaching Work Unit Compliance	113
Teaching	107-108, 111-113
Teaching, Student Evaluations of	157
Technology in the Classroom	209
Technology Services & Support (TSS) (IT)	208
Technology, Use/Removal (State Property)	205
Technology: Patents, Trade Secrets, Know-How, Etc.	138-139
Telephone - Lync	209
Tenure (Designations)	44
Tenure for Non-citizens	62-63
Tenure Guidelines, Promotion and	68-77
Tenure Track Positions (Designations)	42
Tenure	62
Term of Appointment (Definitions)	42
Termination of Faculty for Reasons Other Than Financial Exigency	93-95
Tests, Institutional (Measurement and Evaluation Center)	117
<a href="#">Texas and Federal Penalties</a> (Drug and Alcohol Abuse Prevention Policy)	247
TEExES	173
TexShare Library Card Program	207
Textbook and Educational Materials Policy	129-130
Textbook Orders	153
Tickets (Discretionary Expenditures)	183
Time in Rank	65
Time of Distributions	144
TOEFL - IBT	48-49
TOEFL	173
Tom Tellez Track at Carl Lewis International Complex	216
Trademark	184
Training, Mandatory Employment Discrimination	57-58

Travel Fund, Provost Faculty	132
Travel Insurance	191
Travel Policy	127-128
Travel, Faculty	128
TRS - Teacher Retirement System	193
Tuition Fellowship, Graduate	58
Tutoring (Learning Support)	172-173
Tutoring, Peer (Challenger Program)	173
<a href="#">U.S. Drug Enforcement Administration Website on Drugs</a>	245
UCC - University Coordinating Commission (Faculty Senate)	228-229
UH Blackboard Online Course System	210
UH Campus News	213
UH Digital Library ( <a href="http://digital.lib.uh.edu/">http://digital.lib.uh.edu/</a> )	205
UH e-News Digest	213
UH Faculty Advisory Committee on Human Resources (Faculty Senate)	227
UH News website	212
UH OnCall (Emergency Information)	186
UH Wellness	180
UHSecure	209
UHWireless	209
UIT Security (IT)	208
Unauthorized Person: Refusal of Entry, Ejection, and Identification	202
Undergraduate Committee (Faculty Senate)	226-227
Undergraduate Committee Bylaws	235-239
Undergraduate Course Information to be Posted on UH Website	116
University Career Services	175, 195
University Coordinating Commission	38
University Employee Governmental Appearances	184
University Eye Institute	197
UHS Faculty Council [UFEC] (Faculty Senate)	229
Texas Council of Faculty Senates [TCoFS] (Faculty Senate)	229
University Coordinating Commission (UCC) (Faculty Senate)	228-229
University Financial Policies	182
University Health Center and Pharmacy	197
University Hearing Board	171
University Information Technology (UIT) and Departmental IT	207-211
University Libraries	205-207
University Logo	185
University Marketing	214
University Names and Indicia	185
University Names	185
University of Houston Administration	26-28
University of Houston Charter School	196
University of Houston Department of Public Safety	201
University of Houston Goals	22
University of Houston Police	202-203
University of Houston Promotion and Tenure Grievance Procedures	75-76
University of Houston Retirement Plans	193
University of Houston System Administration	25



University of Houston System Board of Regents Members	23
University of Houston System Presidents	25
University Policies and Procedures	40
University Reviews (Promotion and Tenure)	70-71
University Seal	185
University Speech, Language, and Hearing Clinic	197-198
University Standing Committees	35-37
University Testing Services	173
Unsafe Conditions	177
Use of State Property	205
Vacation Accruals for Faculty on Twelve-Month Appointments	192
Vacation Accruals for Faculty with Appointments Funded by Contracts and Grants	192
Vacation Policies	192
Veterans' Services Office	176
Vice Chair (Research & Scholarship Committee)	232
Vice-Chair (Graduate & Professional Studies Committee)	241
Vice-Chair (Undergraduate Committee)	236-237
Violence on Campus	186
Visiting Faculty (Designations)	43
Vocational Assessments	195
Voluntary Modification of Employment (VMOE)	95-96
Volunteer Fireman Training (Temporary Leave)	99
Voting/Elections (Research & Scholarship Committee)	233
Voting/Meetings (Faculty Senate)	224
<a href="#">Weston A. Pettey Optometry Library</a>	205
Whistleblowers, Protection for	33
Wired Network Connections	209
Wireless Access to the UH Network and Internet	209
Withdrawal Policy for Graduate/Professional Students, Medical/Administrative	157
Withdrawal Policy for Undergraduate Students, Medical/Administrative	157
Women and Gender Resource Center Distinguished Faculty Scholar Awards	148
Women and Gender Resource Center	176
Work Unit Guidelines	108
Workers' Compensation	191
Workload Graphic	109-110
Workload Matrix Examples for Full-Time Faculty Appointments	107
Workload, Academic	106-115
Workload, Accountability and Reporting of Faculty Academic	109
Workshops (Discretionary Expenditures)	183
Writing Center	174