



University of Houston Faculty Handbook

(Provisional – pending final review
by the Faculty Council)

Date of Issue: January, 2026

Chancellor letter (to be inserted)



July 2025

Dear Colleagues,

The University of Houston Faculty Handbook is designed to serve as an educational resource for UH faculty, providing descriptions and connections to relevant policies and procedures that pertain to various aspects of work and campus life. Most policies are at the university-level (MAPP), system-level (SAM), and Board of Regents-level (BOR), and are based on Texas and federal laws. There are also some policies and procedures that are at the Provost level, and a few that are only found in the handbook. An index to all policies, along with their associated university, system, and laws, can be found in the appendix.

Since the last edition of the handbook in 2019, we have experienced significant global changes, including the COVID-19 pandemic, the rapid expansion of artificial intelligence technologies, and shifts in governmental structures and regulations. Such changes continue to prompt the review and rethinking of the policies and procedures that govern the University. For this edition of the handbook, the content has been reorganized and streamlined to ensure alignment with policy and legal updates at various levels. For policies with associated MAPPs and SAMs, brief introductions are provided, and readers are then directed to the associated university or system policies for further details. This approach aims to minimize the updates needed to the introductions provided in this handbook. However, changes in state and federal laws continue to impact these policies, so readers are encouraged to consult the higher-level policy links provided for potential further updates since this handbook was issued.

Amidst the revising of the handbook, the UH Faculty Senate is undergoing a reorganization of its own and is re-emerging this year as the UH Faculty Council. I am grateful for the faculty senators from over the past 60 years who have served the UH community through the UH Faculty Senate, laying the foundation for the shared governance processes that enabled this handbook revision to come to fruition. I would also like to thank the handbook review committee, administrative staff, and senior administrators for their detailed and thoughtful feedback, discussions, and edits during this revision. Editing this handbook has helped me learn more about the policies and procedures and their statutory foundations, and I hope that you find it a useful tool for accessing information to support your excellence in teaching, research, and community engagement.

Sincerely,

A handwritten signature in black ink, appearing to read "Elena L. Grigorenko".

Elena L. Grigorenko, Ph.D.
UH Faculty Council, Presiding Officer, 2025-2026

Table of Contents

1 Introduction	8
1.1 Compliance Statements	8
1.2 Priority of Law, Regulations, and Rules	8
1.3 College and Department Bylaws	9
1.4 Shared Governance	10
1.4.1 Faculty Council	11
1.4.2 University Standing Committees	11
1.4.3 Advisory Committees to the Senior Vice President for Administration and Finance.....	13
1.5 About the University of Houston	13
1.6 Academic Freedom	15
1.7 Other University Governance Bodies	16
2 University Policies and Procedures	18
2.1 Administrative Policies	18
2.2 Academic Affairs Policies.....	18
2.3 Office of Equal Opportunity Services	18
2.3.1 Equal Opportunity and Non-Discrimination Statement	18
2.3.2 Anti-Discrimination Policy	18
2.3.3 Sexual Misconduct Policy	19
2.3.4 Title IX Sexual Misconduct Reporting – Duty to Report	19
2.3.5 Consensual Relationship Policy	19
2.3.6 Sanction of Faculty for Violating Policies Enforced by EOS	20
2.3.7 Accommodation for Faculty.....	20
2.4 Institutional Compliance and Ethics Program.....	20
2.5 General Policies Applicable to All Employees, including Faculty	21
2.5.1 Inter-institutional Agreements.....	21
2.5.2 Travel Policy	22
2.5.3 Cougar Card	23
2.5.4 Tobacco-, Smoke-, and Vape-Free Campus Policy	23
2.5.5 Contract Administration Policy.....	23
2.5.6 Financial Responsibility.....	24
2.5.7 University Financial Policies	24
2.5.8 Official Functions and Discretionary Expenditures	24
3 Faculty Employment.....	26
3.1 Faculty Appointments	26
3.1.1 Tenure-Track Positions	26

3.1.2 Non-Tenure-Track (NTT) Positions.....	27
3.1.3 Joint Appointments	28
3.1.4 Distinguished and Named Professors.....	28
3.1.5 Emeritus	28
3.2 Administrators with Faculty Rank	29
3.3 Employment of Non-citizens.....	30
3.4 Criminal Background Checks	30
3.5 Personnel Records	30
3.6 Primary Spoken Language of Teaching Personnel	30
3.7 Faculty Administrators.....	31
3.7.1 Administrative Stipends Attached to Specific Offices.....	31
3.8 Additional Compensation Policy for Faculty.....	31
3.9 Graduate Work by Faculty	32
3.10 Benefits.....	33
3.11 Vacation Accrual for Faculty	33
3.11.1 Vacation Accruals for Faculty with Appointments Funded by Contracts and Grants	34
3.12 Alterations in Conditions of Employment	34
3.12.1 Pregnant and Parenting Student, Employee, and Faculty Accommodations	34
3.12.2 Reassignment of Duties.....	34
3.12.3 Voluntary Modification of Employment (VMOE)	34
3.13 General and Types of Leave Information	36
3.13.1 Faculty Development Leave.....	36
3.13.2 Faculty Development Leave for Administrators	36
3.14 Grievances	37
3.15 Grievances Involving Promotion and Tenure	37
3.16 Ombudsperson.....	37
3.17 Separation.....	38
3.17.1 Justifications for Dismissal	38
3.17.2 Dismissal for Cause.....	39
3.17.3 Summary Dismissal.....	40
3.17.4 Dismissal Hearing Procedures	40
3.17.5 Dismissal for Medical Reasons	43
3.17.6 Dismissal for Reasons of Financial Exigency or Discontinuance of a Program.....	43
3.17.7 Financial Exigency Policy.....	44
3.17.8 Policy for the Termination of Faculty Due to the Discontinuance of all or part of a Program, Department, or College for Reasons Other Than Financial Exigency	46

4 Faculty Expectations and Evaluation 48

4.1 Expectations of Faculty and Faculty Workload	48
4.2 Faculty Work Locations	48
4.3 Standards of Conduct	49
4.3.1 Conflicts of Interest.....	49
4.3.2 Conflicts of Commitment.....	50
4.3.3 Outside Activities	50
4.3.4 Nepotism Policy	50
4.3.5 University Employee Governmental Appearances	51
4.4 Faculty Annual Performance Review	51
4.5 Student Evaluations of Teaching.....	51
4.6 Post-tenure Review	52
4.7 Faculty Excellence Awards.....	52
4.8 President’s Circle Awards.....	52
5 Promotion and/or Tenure.....	54
5.1 Guidelines for Tenure-Earning and Tenured Faculty.....	54
5.2 Guidelines for Non-Tenure Track (NTT) Faculty.....	54
5.3 Tenure.....	54
5.3.1 Tenure for Non-citizens	55
5.3.2 Appointment with Tenure	55
5.4 Non-renewal of Appointment of a Tenure-Track Faculty Member.....	56
5.5 Probationary Period Extensions	56
6 Research, Scholarship, and Creative Activities	58
6.1 Freedom to Publish.....	58
6.2 Research Oversight Committees	58
6.2.1 Institutional Review Boards	58
6.2.2 Institutional Animal Care and Use Committee	59
6.2.3 Conflict of Interest Committee (Research)	59
6.2.4 Safety Compliance Assistance	60
6.3 Internal Funding	62
6.4 Sponsored Projects	62
6.4.1 Indirect Costs.....	62
6.4.2 Post-Award Guidance	63
6.4.3 Fiscal Responsibility	63
6.4.4. Purchasing Policy for Sponsored Program Funds.....	63
6.4.5 Debarment and Suspension	63
6.5 Intellectual Property	64

6.5.1 Ownership and Infringements of Copyrights	64
6.6 Responding to Allegations of Research Misconduct	65
6.7 Procurement Integrity Policy	65
6.8 Research Security	65
7 Teaching	67
7.1 Teaching Expectations	67
7.2. Textbook and Educational Materials Policy	68
7.2.1 Accessible Instructional Materials	68
7.2.2 Textbook Adoption	69
7.2.3 Cougar Textbook Access Program.....	69
7.2.4 Open Education Incentive Program	69
7.2.5 Learning Management System.....	69
7.3 Syllabus Management and Syllabus Content	69
7.4 Examinations	70
7.5 Posting of Grades/Distribution of Student Work	70
7.6 Incomplete (I) Grades.....	70
7.7 Dropping Courses.....	70
7.8 Medical and Administrative Withdrawal Policy	71
7.9 Religious Holy Days	71
7.10 Excused Absence Policy	72
7.11 Disruptive Behavior	72
7.12 Freedom of Expression.....	73
7.13 Academic Honesty	73
7.14 Accommodating Students with Disabilities	73
7.15 Protection of Confidential Information	74
7.16 Student Services	74
8 Campus Resources	76
8.1 Introduction to Campus Resources for Faculty	76
8.2 Faculty Engagement and Development (FED)	76
8.3 Faculty and Departmental Instructional Support (FDIS)	76
8.4 Public Safety	76
8.4.1 Campus Carry Law – Guns on Campus	76
8.4.2 University of Houston Police Department	77
8.4.3 Criminal Investigations	77
8.4.4 Fire & Life Safety	77
8.4.5 Violence on Campus	78

8.4.6 Operation of the University of Houston under Emergency Conditions	78
8.4.7 Environmental Health and Safety.....	79
8.5 University Libraries.....	79
8.6 University Information Technology (UIT) and Departmental IT	79
8.6.1 Services and Resources	79
8.6.2 UH Information Technology and Security.....	80
8.6.3 Prohibited Technologies and Covered Applications	80
8.7 Parking and Transportation Services.....	80
8.8 Facilities/Construction Management.....	81
8.9 Dining Services	81
9 Faculty Handbook Revision	82
9.1 Guidelines.....	82
9.2 Faculty Handbook Committee, 2025 Edition.....	83
9.3 Revision Suggestions	83
Appendix	84
Policies Index for UH Faculty Handbook.....	84

1 Introduction

This edition of the *Faculty Handbook* includes links and references directly to the original source policy, procedure, and similar resources, so faculty can access the most up-to-date information. Archived versions of the *Faculty Handbook* are available, for reference, through the Faculty Council website. Guidelines outlined in the *Faculty Handbook* ensure regular substantive review of the information included. Additionally, more frequent periodic review of the links included in the *Faculty Handbook* will be undertaken by the Provost's Office and the Faculty Council.

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

- Chancellor/President: University of Houston System Chancellor and University of Houston President.
- Chancellor: University of Houston System Chancellor and University of Houston President acting in her/his capacity as the head of the UH System.
- President: University of Houston System Chancellor and University of Houston President acting in her/his capacity as the head of the University of Houston.
- Provost: University of Houston System Senior Vice Chancellor for Academic Affairs and University of Houston Senior Vice President for Academic Affairs and Provost.

1.1 Compliance Statements

This University of Houston *Faculty Handbook* and related policies do not constitute an employment contract or an offer to contract with any employee. The University of Houston reserves the right to change, amend, or abandon any policies contained in this handbook at any time.

The policy of the University of Houston System and its universities is to ensure equal opportunity in all its educational programs and activities, and all terms and conditions of employment without regard to age, race, color, disability, religion, national origin, ethnicity, military status, genetic information, sex (including gender and pregnancy), sexual orientation, gender identity or status, or gender expression, except where such a distinction is required by law. Refer to SAM 01.D.05 – Equal Opportunity and Non-Discrimination Statement at <https://uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01d05/>.

This handbook replaces all previous handbooks. University of Houston policies are subject to University of Houston System policies, and University of Houston System Board policies.

1.2 Priority of Law, Regulations, and Rules

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

Hierarchy of Legal Authority

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

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

University Policy Hierarchy

Board of Regents (BOR) Policies: The University of Houston System Board of Regents is the governing body for the UH System and for each university within the system. BOR Policies, therefore, take precedence over other system or university policies. The BOR Policies can be accessed at <https://www.uhsystem.edu/board-of-regents/policies/>.

System Administrative Memoranda (SAMs): UH System Policies, or SAMs, are intended to specify rules and regulations to implement Board policies, and/or to establish uniform rules, regulations and procedures on matters of overall System concern not addressed in Board policies. SAMs can be accessed at <https://www.uhsystem.edu/compliance-ethics/uhs-policies/>.

Manual of Administrative Policies and Procedures (MAPPs): UH Policies, or MAPPs, are developed to ensure compliance and best practices with higher authority or directives. Additionally, MAPPs may provide procedures for policies. MAPPs can be accessed at <https://uh.edu/policies/mapps/>.

Office of the Provost Policies and Guidelines: The Office of the Provost Policies and Guidelines provide policies related to faculty employment, evaluation, and promotion, as well as teaching and resource guidelines. Office of the Provost approval is required for all college bylaws. These policies and guidelines are available at <https://uh.edu/provost/faculty/policies-and-procedures/faculty-policies/>.

College Authority: College bylaws provide policy at the college level and include college policies, guidelines, and procedures.

Departmental Authority: Department bylaws provide policy at the department level and include policies, guidelines, and procedures.

Other Compliance and Ethical Considerations

Additionally, policies, guidelines, and procedures are provided from other relevant sources, including

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

1.3 College and Department Bylaws

Each college and department should have approved bylaws and make them available online. College and department bylaws should, at a minimum, include the following:

- definitions of the various classes of benefits eligible faculty members;
- annual performance review guidelines (see <https://www.uh.edu/provost/policies-resources/faculty/policies/performance/>);
- rules regarding the voting rights for each class of faculty members on matters such as hiring, retention, promotion, curricular revisions, and other faculty matters;
- rules regarding the participation of each class of faculty member on committees and task forces;
- procedures for the selection, tenure, review, and retention of department chairs (see <https://www.uh.edu/provost/policies-resources/faculty/resources/dept-chair-roles/>) and deans;
- rules regarding the timing of and criteria for calling regular faculty meetings;
- the selection process, composition, responsibilities, and list of departmental and college standing committees;
- the faculty role in promotion, tenure, and post-tenure review;
- the criteria and procedures for promotion and tenure;
- the procedures for adjudicating faculty and staff grievances;
- procedures for identifying faculty roles in the determination of planning and budgets for departments and colleges;
- procedures to determine and specify selection for membership on governance groups at the department, college, and university levels;
- procedures by which bylaws would be reviewed and amended;
- a statement that faculty are responsible for developing the curriculum and determining its effectiveness within each department and college;
- a statement that faculty identify the standards for student admissions, grading, and candidacy for graduate and undergraduate study;
- delineation of faculty responsibilities in the areas of work-load and space allocation;
- delineation for opportunities of leadership development among faculty administrators, chairs and potential faculty administrators;
- accreditation for professional schools and colleges beyond Southern Association of Colleges and Schools (SACS) should involve the broadest cross-section of faculty in the process; and
- a statement affirming the hierarchy of Provost, University, System, and Board of Regents policies and procedures; state and federal laws, orders, and policies; and the requirement for Provost Office approval of college bylaws.

The Provost Office requests that a change-tracked copy of proposed updates to bylaws and policies be provided to the Associate Provost for Faculty Development/Affairs 1-2 weeks or more prior to faculty vote on adoption.

1.4 Shared Governance

The shared governance structure provides the framework for an active partnership between faculty and administration in formulating recommendations and drafting policies affecting the academic community. Composed of the Faculty Council and standing committees of the university, the faculty governance structure establishes forums for internal discussion, proposes policies related to faculty concerns, communicates faculty opinions on key issues pertaining to the university function, and 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 Council by the Provost and to the standing committees by the senior administrator to whom they report.

1.4.1 Faculty Council

The UH Faculty Council began as the UH Faculty Senate in 1961 and over the past six decades has engaged in shared governance activities relating to undergraduate and graduate curriculum, research, budget and facilities, faculty affairs, and community and government relations. In compliance with Board of Regents policies, the UH Faculty Council will be comprised of members elected by the faculty members of their respective colleges and appointed by the President. The Faculty Council is the recognized body representing faculty voice and considers, provides advice, and makes recommendations to the President of the University of Houston and other senior administrators on matters of interest to the entire faculty. Faculty are advisory to the administration, while the administration makes decisions. Faculty also serve on committees whose functions are to facilitate the provision of faculty advice and shared governance by interfacing directly with individual units of the central administration. The President, Provost, Senior Vice President for Administration and Finance, Vice President for Research, and other university administrators are invited to attend, provide updates to, and receive feedback from the assemblies of the Faculty Council. The Council is governed by its own bylaws ([Bylaws of the Faculty Council | University of Houston](#)) and is organized into three Committees—Faculty Affairs, Curriculum, and Research and Scholarship—each of which operates according to standard operation procedures.

1.4.2 University Standing Committees

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. University standing committees that have faculty representation currently include the following:

Office of the President

- Athletics Advisory Committee
- Intellectual Property Committee
- Sexual Misconduct Hearing Board

Office of the Senior Vice President for Academic Affairs and Provost

- Committee for Academic Centers and Institutes
- Faculty Engagement and Development (FED) Advisory Board
- University Faculty Grievance Committee
- Health Professions Advisory Committee
- International Students Advisory Committee
- Library Committee
- University Promotion and Tenure Advisory Committee
- Scholarship and Financial Aid Advisory Committee
- Student Learning Abroad Scholarship Selection Committee
- Teaching Excellence Awards Committee
- Undergraduate Admissions Review

Office of the Senior Vice President for Administration and Finance

- Bookstore Advisory Committee
- Cougar Card Advisory Committee
- Cullen Performance Hall Advisory Committee
- Food Services Advisory Committee
- Human Resources - Fringe Benefits Committee

- Safety and Security Advisory Committee
- Sustainability Advisory Committee
- Transportation and Parking Advisory Board

Office of the Vice President for Student Affairs

- A.D. Bruce Religion Center Policy Board
- Student Financial Aid Advisory Committee
- Campus Recreation Advisory Committee
- Partners in Access Faculty Advisory Committee
- Children’s Learning Center Advisory Board
- Counseling and Psychological Services Advisory Committee
- Student Health Center Policy Board
- Student Housing and Residential Life Committee
- Student Center Policy Board
- Student Fees Advisory Committee
- Student Media Advisory Committee
- University Hearing Board

Procedures for University Standing Committees

- Unless otherwise specified, each committee shall elect its chair annually (from among its membership), and that individual shall be a student, staff, faculty member or librarian below the rank of dean.
- No committee member shall have a designee serve in their place unless approved by the committee and the appropriate nominating body.
- Committee chairs shall make every effort to schedule meetings at times when all members can attend. Written notices of scheduled meetings shall be distributed to all committee members as far in advance as possible.
- At the first meeting of the year, each committee shall be given a statement of its duties, responsibilities, and issues for consideration.
- The Faculty Council Executive Committee will gather input annually from faculty serving on university standing committees regarding committee activities.
- There should be regular contact between committee chairs and their related university offices to communicate recommendations and specific actions under consideration.
- Committees shall meet at least twice a semester.
- Extended or regular absences of a committee member shall be communicated by the chair to the appropriate nominating body. The latter and/or the chair will ask such members to resign and communicate that request to appropriate campus offices. Replacement members shall be nominated and appointed in accordance with the usual procedures.
- The authority to alter the composition or charge of a committee rests with the respective 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 Executive Committee of the Faculty Council.
- To create a standing committee, a recommendation is brought to the Executive Committee of the Faculty Council that includes: the proposed name of the committee and the administrator/s to be involved; the proposed composition of the body; an 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 Executive Committee will consult with the appointing officer to discuss

recommendations and formalize the details.

Faculty members are nominated to serve on University Standing Committees by the Faculty Council Executive Committee and/or appointed by the President or the Vice President responsible for the area in which the committee falls. The exception is the University Faculty Grievance Committee, which is elected by the faculty through university-wide balloting. *For charges to university standing committees, please consult the offices to which they report.*

1.4.3 Advisory Committees to the Senior Vice President for Administration and Finance

The following additional committees are advisory to varied departments within the Division of Administration and Finance and often involve faculty representation:

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

1.5 About the University of Houston

History

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 eight 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 yields a substantial research portfolio and awards advanced professional degrees in law, medicine, optometry, pharmacy, and social work. It is the home of the M.D. Anderson Library, the research library that serves all components of the UH System.

Today, the University of Houston has a strong national and international presence and continues to serve students from Houston, across Texas, from other U.S. states, and around the world. As the largest public university in Southeast Texas and the premier urban research university in the state, the university seeks to fulfill the universal goals of higher education while maintaining a focus on its specific city and state. For more information about UH history and traditions, see <http://www.uh.edu/about/history/>.

The University of Houston is accredited by the Southern Association of Colleges and Schools Commission on Colleges to award baccalaureate, master's, professional and doctoral degrees. Contact the Southern Association of Colleges and Schools Commission on Colleges at 1866 Southern Lane, Decatur,

Georgia 30033-4097 or call 404-679-4500 for questions about the accreditation of the University of Houston.

For more detailed information, visit the website of the UH Office of Institutional Research at <http://www.uh.edu/ir/> or the UH Division of Administration and Finance's website on Statutorily Required Reports at <https://uh.edu/af/financialservices/>.

Administrative Offices

Board of Regents. The University of Houston is governed by a Board of Regents comprised of ten regular members (who serve staggered 6-year terms) and a student regent. Board responsibilities include: preserving institutional independence and defending each UH System component university's right to manage its own affairs through its chosen administrators and employees; enhancing each university's public image; interpreting the community to each of the universities and the universities to the community; nurturing each university so that each may achieve its full potential within its role and mission; and providing policy direction, insisting on clarity of focus and mission, to each of the universities. Additional information about the Board of Regents, including its bylaws, may be found at <http://www.uhsystem.edu/board-of-regents/index.php>.

University of Houston System Administration. The University of Houston System is made up of three universities: the University of Houston, the University of Houston-Clear Lake, and the University of Houston-Downtown. Additionally, the University of Houston has two instructional sites – UH Sugar Land and UH Katy. Each UH System university has its own budget and is led by its own president and leadership. The Chancellor of the UH System (who is also the President of the University of Houston) oversees the three-university system. For additional information, see <https://www.uhsystem.edu/>.

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

Academic Structure

The University of Houston comprises academic colleges, Library, and an interdisciplinary Honors College. Each major and graduate program is based in one of the academic colleges or schools. See <https://publications.uh.edu/index.php> for a complete list of programs and degrees. The Honors College, in contrast, provides special courses and opportunities for talented undergraduate students of all majors and departments. For a complete list of colleges and schools, see <http://www.uh.edu/academics/colleges-departments/>.

Mission, Vision, Values, and Goals

Mission: Connecting Potential with Opportunity. The University of Houston draws strength from its cultural richness to transform lives and communities through education, research, service and innovation in a real-world setting. UH is an engine for discovery, conversation and change that informs and leads local, state, national and global partnerships.

Vision: Building a Top 50 Public University. The University of Houston seeks to achieve a rank in the U.S. News & World Report list of top 50 US public universities based on graduation rate, affordability, social mobility and student-related institutional investment, among other measures.

Values. The University of Houston embodies three key values:

1. *Innovation:* We infuse innovation into everything—our culture, curriculum and campus workplace.
2. *Collaboration:* We build strength through creative innovation, entrepreneurship, research, intellectual curiosity, and partnerships in everything we do.
3. *Resilience:* We change and adapt, transform and are creative to meet the ever-changing needs of the University and society.

Goals. The University of Houston aims to achieve the vision through five strategic goals:

1. *Student Success.* UH will provide a top tier, inclusive educational experience to all.
2. *Nationally Competitive Research.* UH will build a research powerhouse that impacts our region and the world and will seek to meet the threshold needed for its entry into the Association of American Universities (AAU).
3. *Social Responsibility.* UH will serve as an exemplar of community engagement.
4. *Nationally Relevant Athletics.* UH will build a competitive athletics program.
5. *Competitive Funding.* UH will build a sustainable funding base to support vision and goals.

1.6 Academic Freedom

As the American Association of University Professors (AAUP) describes, the University of Houston adheres to the principle that

Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition. Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental to protecting the rights of the teachers in teaching and students in learning. It carries with it duties that are correlative with those rights.

For the complete AAUP 1940 Statement of Principles on Academic Freedom and Tenure, visit <https://www.aaup.org/report/1940-statement-principles-academic-freedom-and-tenure>.

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

21.03.1 The faculty member is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of the faculty member's other academic duties; but research for personal pecuniary return should be based upon an understanding with the authorities of the university.

21.03.2 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.

21.03.3 The faculty member is a citizen, a member of a learned profession, and an officer of an educational institution. When speaking or writing as a citizen, the faculty member shall be free

from institutional censorship or discipline, but the faculty member's special position in the community imposes special obligations. As a person of learning and an educational officer, the faculty member should remember that the public may judge the profession and the institution by the faculty member's verbal or written comments. Hence, the faculty member should at all times strive for accuracy, exercise appropriate restraint, show respect for the opinions of others, and make every effort to indicate that the faculty member is not speaking for the institution.

1.7 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. 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. 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, promotes recognition of the staff contribution to the mission of the university and facilitates positive and meaningful interchanges amongst staff, faculty, and students to improve the staff experience. The HR Online Staff Resources Guide provides information and links to online resources for the UH community at <https://www.uh.edu/human-resources/hr-online-resource-guide/>. More information about Staff Council may be found at <https://www.uh.edu/staff-council/>.

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 students' needs and 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 ensure a positive university experience for all parties concerned. More information is available at <http://www.uh.edu/sga/>. The Student Handbook may be found at <http://publications.uh.edu/index.php>.

University Coordinating Commission

The University Coordinating Commission (UCC) coordinates and expedites communications among faculty, staff, students, and the university's administration regarding policy and procedures development at the University of Houston. The UCC does not create or evaluate policies but rather serves to facilitate discussion and input among existing policy-forming groups. The UCC fosters stronger connections between all governance groups; facilitates needed input into the development of policies and procedures; and helps 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/> and MAPP 01.01.02 – University Coordinating Commission at <https://www.uh.edu/policies/mapps/01-general-information/010102/>.

The UCC generally facilitates communications about proposed new academic policies and procedures or proposed changes to existing academic policies and procedures from August to May each year. If the necessity arises for implementing an academic policy during the off-cycle, such implementation should be justified to the affected constituencies as an interim policy by the decision-maker. See MAPP 01.01.01 Creating and Maintaining University Policies at <https://www.uh.edu/policies/mapps/01-general-information/010101/>.

2 University Policies and Procedures

A policy is a statement of principles and values that guide institutional activities. Effective policies are flexible, coordinated, comprehensive, ethical, and clear. A procedure is a defined course of established methods used to achieve an objective. To achieve their goals, units within the university establish policies and procedures, many of which affect faculty. This section clarifies the types of policies governing faculty roles at the University of Houston. It also describes procedures for amending the policies should they not meet the characteristics of effective policies described elsewhere in this handbook.

2.1 Administrative Policies

Administrative policies may be proposed by any individual or unit on campus and are approved by the appropriate Vice President, who is responsible for seeking the President's approval. Frequently, Administrative Policies are developed as required by federal law, Texas law, or as required by changes in legal authority or specific changes in the university. System-wide administrative policies are published as System Administrative Memoranda (SAMs) at <http://www.uh.edu/af/universityservices/policies/sam/>. Administrative Policies for UH but not for other system universities are published in the University of Houston Manual of Administrative Policies and Procedures (MAPP) at <http://www.uh.edu/af/universityservices/policies/mapp/index.htm>. Procedures for creating and maintaining university policies are described in MAPP 01.01.01 (<https://www.uh.edu/policies/mapps/01-general-information/010101/>) and MAPP 01.01.02 (<https://www.uh.edu/policies/mapps/01-general-information/010102/>).

2.2 Academic Affairs Policies

Because of their academic role, policies related to faculty roles such as hiring, workload, evaluation, and promotion, are considered Academic Affairs Policies at the University of Houston (see <https://uh.edu/provost/faculty/policies-and-procedures/faculty-policies/>). Such policies are frequently reviewed by faculty governance bodies and the Office of the Provost to ensure due process and academic excellence. The Provost is responsible for all academic policies on campus and makes the final decision on all university-wide academic policies before seeking the President's approval. In the case of existing academic policies, the Provost has the authority to grant an exception to an academic policy if, after review, the Provost believes the circumstances warrant such an exception.

2.3 Office of Equal Opportunity Services

2.3.1 Equal Opportunity and Non-Discrimination Statement

The University of Houston is committed to providing equality of treatment and opportunity in an environment that appreciates and respects the diversity of the community it serves. The official University of Houston *Equal Opportunity and Non-Discrimination Statement* can be found in SAM 01.D.05 (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01d05/index.php>).

2.3.2 Anti-Discrimination Policy

The University of Houston System is committed to maintaining and strengthening an educational, working, and living environment where students, faculty, staff, and visitors are free from discrimination

and harassment of any kind. Discrimination and harassment are antithetical to the standards and ideals of the University. The University will take appropriate action in an effort to eliminate discrimination and harassment from occurring, prevent its recurrence and address its effects. The official University of Houston Anti-Discrimination Policy can be found in SAM 01.D.07

(<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01d07/>). For more information regarding the Anti-Discrimination policy, please visit the Office of Equal Opportunity Services website at <https://www.uh.edu/equal-opportunity/anti-discrimination/> or call 713-743-8835.

2.3.3 Sexual Misconduct Policy

Sexual misconduct is a broad term encompassing a range of non-consensual sexual activity or unwelcome behavior of a sexual nature. The term includes sexual harassment, nonconsensual sexual contact, sexual assault, sexual exploitation, stalking, dating violence and domestic violence. The University's Sexual Misconduct Policy is found in SAM 01.D.08 (<https://uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01d08/index.php>), which defines and describes prohibited sexual conduct and establishes a procedural mechanism for processing complaints of sexual misconduct. For more information regarding the Sexual Misconduct Policy, visit the Office of Equal Opportunity Services website at <https://www.uh.edu/equal-opportunity/title-ix-sexual-misconduct/> or call 713-743-8835.

2.3.4 Title IX Sexual Misconduct Reporting – Duty to Report

To comply with Texas Education Code Chapter 51 (<https://statutes.capitol.texas.gov/Docs/ED/htm/ED.51.htm>), an employee of the University who, in the course and scope of their employment, witnesses or receives information regarding the occurrence of an incident that the employee reasonably believes constitutes Sexual Misconduct and is alleged to have been committed by or against a person who was a student enrolled at or an employee of the University at the time of the incident regardless of when or where the incident occurred shall promptly report the incident to the University's Title IX Coordinator. If after an investigation, the University determines that an employee knowingly failed to make a report, made a false report, or intended to conceal the incident, state law requires the University to terminate the employee, regardless of tenure status. See SAM 01.D.08 – Sexual Misconduct Policy (<https://uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01d08/index.php>) and the Sexual Misconduct FAQs (<https://www.uh.edu/equal-opportunity/title-ix-sexual-misconduct/faqs/>) for further information.

2.3.5 Consensual Relationship Policy

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

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

Additionally, the University prohibits consensual dating, intimate, romantic, and/or sexual relationships between faculty and undergraduate students. Only the Assistant Vice Chancellor/Vice President for Equal Opportunity Services or designee is authorized to grant exceptions to this policy. For more information, see SAM 01.D.10 Consensual Relationship Policy (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01d10/>).

2.3.6 Sanction of Faculty for Violating Policies Enforced by EOS

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

2.3.7 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 or by e-mail at eos@uh.edu.

To begin the process, the employee must obtain and thereafter complete a **Request for Workplace Accommodation** form (<https://www.uh.edu/equal-opportunity/request-accommodation/>) and then submit a copy of the completed form to their supervisor and the original of the completed form to the ADA Coordinator. Employees who have been granted a reasonable workplace accommodation must maintain the university's standards of performance, attendance, and conduct as specified by the accommodated employee's department or unit.

For more information regarding the Reasonable Workplace Accommodation for Employees with Disabilities Policy, see SAM 02.E.09 (<https://uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/02-human-resources/02e09/>), or visit the Office of Equal Opportunity Services ADA website at <https://www.uh.edu/equal-opportunity/ada/>.

2.4 Institutional Compliance and Ethics Program

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

Reporting/Investigating Fraudulent Acts

When suspected fraudulent activities are observed by an employee (including a student employee), the

employee must immediately make a report to the proper authority as follows:

- If the employee wishes to make an anonymous report, they may contact the State Auditor’s Office (SAO) Hotline at 1-800-TX-AUDIT (1-800-892-8348) or visit the website at <https://sao.fraud.texas.gov/>. Anonymous reports can also be made via the web at the Fraud & Non-Compliance Hotline (<https://sao.fraud.texas.gov/ReportFraud/>).
- If the employee does not wish to remain anonymous, the employee should notify their supervisor, the Chief Audit Executive, or the Chief Compliance Officer. If the suspect is a senior manager, administrator, or executive, the employee should notify the Chief Audit Executive, Chief Compliance Officer, and/or an appropriate law enforcement authority.
- If the employee notifies their supervisor (or higher authority), the supervisor (or higher authority) must immediately direct the report to the Chief Compliance Officer 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 Chief Compliance Officer, or the Chief Audit Executive, and/or an appropriate law enforcement authority. For more information, see the University’s Institutional Compliance and Ethics Program website (<http://www.uh.edu/compliance/>) and SAM 01.C.04 – Reporting/Investigating Fraudulent Acts (<https://uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01c04/>).

Fraud & Non-Compliance Hotline

The university uses an online and/or telephone hotline for university employees to anonymously report fraud and non-compliance with internal and external rules and regulations, including harassment, theft, substance abuse, unsafe conditions, and more. The hotline is open 24-hours a day, seven days a week. Individuals who use Fraud & Non-Compliance Hotline may choose to remain anonymous. To report fraud or non-compliance, call 1-866-843-4379 or go to <http://www.uh.edu/compliance/compliance-hotline/>.

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

Protection for Whistleblowers

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

In the event that a faculty member believes they are being retaliated against for reporting, in good faith, the unlawful acts and/or practices by a state employee, they should report such acts to the Fraud and Non-Compliance Hotline at 1-866-843-4379, or go to <http://www.uh.edu/compliance/compliance-hotline/>.

2.5 General Policies Applicable to All Employees, including Faculty

2.5.1 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, Provost, the Office of the General Counsel, and any other required offices. Refer to the Policy Governing External Agreements that Include Faculty Professional Activities Requiring Institutional Approval (Interim Policy) at <https://uh.edu/provost/faculty/faculty-policies/document-faculty-policy-on-institutionally-sanctioned-faculty-related-activities.pdf>. Assistance in formulating such agreements must be obtained through the Provost's Office at the earliest phase of discussions. Proposals for and operation of international partnerships are subject to the provisions of SAM 06.A.11 – International Collaborations (<http://www.uh.edu/af/universityservices/policies/sam/>).

2.5.2 Travel Policy

Business Travel

Travel undertaken on official University of Houston business and paid or reimbursed from university funds shall comply with federal, State of Texas, University of Houston System, and university regulations and guidelines as detailed in SAM 03.A.03 – Business Travel (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/03-fiscal-affairs/03a03/>). The State of Texas has clearly established rules that govern University of Houston travel policies and procedures when state-appropriated funds are used (see Texas Government Code 660 at <https://statutes.capitol.texas.gov/Docs/GV/htm/GV.660.htm#:~:text=660.013>). These rules are described in MAPP 04.02.01A – Travel Paid from State-Appropriated Funds (<https://www.uh.edu/policies/mapps/04-procurement/040201a/>). 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 (<https://www.uh.edu/policies/mapps/04-procurement/040201b/>).

In addition, faculty should be aware of the following information:

- A. All travel paid or reimbursed from any University of Houston funds must have cleared all the appropriate levels of approval prior to the trip being taken.
- B. To maintain insurance coverage and/or accountability, prior approval is required on all university travel regardless of funding sources.
- C. The following are required for foreign travel:
 1. Prior to the trip (submitted with travel request):
 - a. The employee traveler must submit a specific statement for the appropriate Vice President's approval, which describes the need for the trip and the benefit or expected benefit for the university. This statement must be attached to the applicable travel request.
 - b. The employee traveler must submit a specific statement for the appropriate Vice President's approval, which describes the need for the trip and the benefit or expected benefit for the university. This statement must be attached to the applicable travel request.
 2. After the trip (submitted with expense report): A traveler must include a post-trip report describing business activities for each applicable day of the trip, along with the trip agenda.
- D. All required 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 business travel policies may result in a faculty member being unable to recover travel expenses.

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

- Accounts Payable Travel Website at <https://www.uh.edu/office-of-finance/ap-travel/travel-policies/>
- Provost’s Travel Fund Guidelines at <https://uh.edu/provost/faculty/faculty-resources/professional-development/travel-fund/>

Personal Travel

On November 19, 2024, Governor Greg Abbott issued [Executive Order GA-48](#). To comply with GA-48, all employees, including faculty, must complete the following pre- and post-travel forms to notify the University of any personal travel to China (including Hong Kong and Macau), Cuba, Iran, North Korea, Russia, or Venezuela prior to that travel and to notify the University upon return and certify compliance.

- [International Personal Travel Pre-Trip Notification](#)
- [International Personal Travel Post-Trip Certification](#)

2.5.3 Cougar Card

The Cougar Card is the official picture identification card for the University of Houston. Faculty should obtain a card and carry it at all times for identification purposes. It may be used to secure library privileges, to purchase tickets for recreational and athletic events, to make discount purchases at the bookstore, and to access emergency health services and discounted services at the Optometry Clinic. In addition, faculty can access the printing and photocopying credit at printers and copiers in the M. D. Anderson Library each semester. Faculty, staff, and students can pick up their Cougar Card in one of the Cougar Card Offices. Photo identification, such as a driver's license, military ID, or Passport, is required. For more information, refer to MAPP 04.05.02 – Cougar Cards at <https://www.uh.edu/policies/mapps/04-procurement/040502/>, call the Cougar Card Office at 832-842-2273, or visit the Cougar Card website at <http://www.uh.edu/cougarcard/>.

2.5.4 Tobacco-, Smoke-, and Vape-Free Campus Policy

The Tobacco-, Smoke-, and Vape-Free Campus Policy (<https://uh.edu/policies/other-uh-policy-resources/tobaccofree/>) is part of the university’s commitment to creating a healthy and sustainable environment for all members of the UH community, and is designed to be positive and health-directed. The university is not requiring faculty, staff, and students to quit using tobacco or vaping products, but does expect the policy to be adhered to by all individuals on university property. See MAPP 07.02.02 – Tobacco-, Smoke-, and Vape-Free Campus Policy (<https://www.uh.edu/policies/mapps/07-public-safety/070202/>).

2.5.5 Contract Administration Policy

Prior to engaging in any service-related agreement, contact your college administrator responsible for contract management. In accordance with Board, System, and University contracting policies, only the Chancellor/President and their 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 their 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, refer to Board of Regents Policy 55.01 – Contracts (<https://www.uhsystem.edu/board-of-regents/policies/>), SAM 03.A.05(<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/03-fiscal-affairs/03a05/>), and the system-wide Contract Administration Guide (<https://uhsystem.edu/offices/legal-affairs/contract-administration/index.php>).

2.5.6 Financial Responsibility

Faculty are included in MAPP 05.03.01 – Employee Financial Responsibility (<https://www.uh.edu/policies/mapps/05-finance-and-accounting/050301/>). Under this policy, university employees are required to satisfy their financial obligations to the university in a timely fashion. Employee financial obligations include payment for parking permits, citations or towing; purchases of goods or services from university auxiliary operations; payment for tuition, fees, or housing; library fines; Student Health Center or Counseling and Psychological Services charges; any personal checks submitted for payment; or any other financial obligation to the university incurred by the employee.

2.5.7 University Financial Policies

University policies related to finance and financial accountability may be found in the Manual of Administrative Policies and Procedures (<http://www.uh.edu/af/universityservices/policies/mapp/>), the UH System Administrative Memoranda (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/>), and the Board of Regents Policies (<http://www.uhsystem.edu/board-of-regents/policies/index.php>). The following are summaries of policies governing the use of university funds to carry out the multifaceted roles of faculty and other university personnel. Generally, the principle of accountability for state funds guides all financial policies for employees of the State of Texas.

2.5.8 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) 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 the 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 – Entertainment Expenditures

(<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/03-fiscal-affairs/03a02/index.php>) and MAPP 05.02.02 – Official Functions and Discretionary Expenditures

(<https://www.uh.edu/policies/mapps/05-finance-and-accounting/050202/>):

- 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 fundraising or recruiting faculty;
- E. Flowers (only to include: 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; and
- B. Gifts to university personnel.

3 Faculty Employment

3.1 Faculty Appointments

As mandated by Board of Regents Policy 21.06 – Faculty Personnel Actions (<http://www.uhsystem.edu/board-of-regents/policies/index.php>) and SAM 06.A.09 – Academic Personnel Policies (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/06-academic-affairs/06a09/>), the University of Houston has established the following definitions and conditions.

Appointment is defined as the employment of an individual in a given capacity for a specified time period at a stated salary. Faculty appointments are made in accordance with procedures developed at the university and approved by the President. The Provost (or delegate) approves all faculty appointments. Appointment letters and reappointment agreements must be approved by Faculty Affairs (FA) and must follow standard forms as adopted by FA and reviewed by the Office of General Counsel. Hiring with tenure must follow the Process for Expedited Review of New Faculty Hires with Tenure guidelines (https://uh.edu/provost/faculty/faculty-resources/administrators/_files/hiring-tenure-guidelines.pdf). The guidelines specify processes that are dependent upon the current tenure status and type of current institution of the faculty candidate. The expedited process includes review/approval by the department committee, department chair, college committee, dean, University Promotion and Tenure Advisory Committee, Provost, Chancellor/President, and the Board of Regents at their next meeting. No administrator may be given faculty status or tenure without a review and positive recommendation from the academic unit involved and completion of the expedited tenure review process including approval by the Board of Regents, in the case of an offer with tenure in the faculty appointment.

If an individual to be appointed instructor of record does not have appropriate academic qualifications, a justification form must be completed to document the instructor’s qualifications and experience for each course. The relationship between the instructor’s qualifications and experience and the specific subject matter and topics covered in the course must be clear and comprehensively summarized on the form. For information on instructor credentials, please visit <https://uh.edu/provost/faculty/faculty-resources/administrators/instructor-credentials/>.

3.1.1 Tenure-Track Positions

The following ranks are considered part of the tenure-track: instructor (except as noted below), assistant professor, associate professor, and professor. Consult the Provost’s Promotion and Tenure Guidelines (<https://uh.edu/provost/faculty/policies-and-procedures/promotion-and-tenure/>) for detailed descriptions of the positions, procedures, and expectations for promotion and tenure. Additionally, colleges and/or departments have promotion and tenure guidelines/expectations that should be consulted for additional details.

Instructor is a temporary tenure-track appointment that can be provided to an assistant professor hire who has not been awarded a terminal degree prior to start of their appointment. Time spent in an instructor position will normally not be included in the probationary period of a tenure track faculty member. If a faculty member appointed as an instructor fails to be awarded their terminal degree by the end of the academic year (i.e., May 31), they will be terminated at the end of the academic year. No instructor may be awarded tenure.

Assistant professor is a probationary rank with a probationary period not to exceed seven years, exclusive of approved extensions, before the mandatory review for the award of promotion and

tenure. In special cases, the Provost may approve early review for the award of promotion and tenure. Granting tenure requires final approval by the Board of Regents.

Associate professors may be appointed with tenure or, alternatively, may be required to serve a probationary period not to exceed four years before mandatory review for the award of tenure. In special cases, the Provost may approve early review for the award of tenure. Faculty should consult the Provost's Promotion and Tenure Guidelines to evaluate normative timelines and expectations for review for promotion. Granting tenure requires final approval by the Board of Regents.

Professors are usually appointed with tenure but may be required to serve a probationary period not to exceed four years before mandatory review for the award of tenure. In special cases, the Provost may approve early review for the award of tenure. Granting tenure requires final approval by the Board of Regents.

The faculty status of individuals who do not hold the standard tenure-track faculty titles listed above, whether tenured or tenure-track, shall be determined in accordance with college bylaws. Such bylaws must conform to University of Houston policy, must be approved by the Provost, and must be filed in the Office of the Provost.

3.1.2 Non-Tenure-Track (NTT) Positions

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

Librarians are considered staff positions at the University of Houston. However, Librarians have similar rights and protections as faculty members at the University of Houston as delineated in the UH Faculty Handbook and/or as determined by applicable university policy. For specific policies governing Librarians at the University of Houston, see the *Bylaws of the Librarians of the University of Houston* (available through the UH Libraries intranet).

The following faculty positions are NTT appointments. Other titles may be utilized by a college only with the permission of the Provost. Departments or colleges may deviate from these titles as necessary to comply with applicable national accreditation standards, with the permission of the Office of the Provost:

Promotion-eligible:

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

Non-promotion-eligible:

Visiting Assistant Professor
Visiting Associate Professor
Visiting Professor
Visiting Scholar
Scholar-(Writer, Composer, Artist)-in-Residence
Lecturer
Senior Lecturer
Professor of Practice

Affiliate Artist
Research Scientist
Senior Research Scientist
Adjunct Faculty

3.1.3 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, is on the tenure-track, or a promotion-eligible non-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 promotion, and/or tenure, merit salary increases and voting rights. If a joint or split appointment is requested after appointment at UH, a Joint Appointment Request Form must be used (available from <https://uh.edu/provost/faculty/faculty-resources/administrators/>).

3.1.4 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 their discipline.

The type of distinguished or named professorship and the source of endowment support affect the procedure by which a distinguished/named professorship is awarded. When an endowed chair or professorship at the university level defers to university procedure, an *ad hoc* committee comprised of five members is 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. 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.

3.1.5 Emeritus

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

- A. The titles "emeritus" and "emerita" will be conferred only upon those retired tenured faculty and librarians, including those on Voluntary Modification of Employment (VMOE), who have made a significant contribution to the university through a long and distinguished record of scholarship, teaching, and/or service. Except in unusual circumstances, the emeritus candidate will have been with the university for ten or more years. For Professors and Librarian Emeritus, the Emeritus title will be appended to their final university title (e.g., Associate Professor Emeritus).

- B. In addition to the title Professor Emeritus and Librarian Emeritus, the university will recognize the titles Chancellor Emeritus, President Emeritus, Senior Vice President Emeritus, Vice President Emeritus, and Dean 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, those with emeritus standing 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.

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

3.2 Administrators with Faculty Rank

When the principal candidate for an administrative position with faculty rank is chosen and is made an offer, the chair of the Search Committee forwards the candidate's vita and letters of recommendation to the academic department to which the faculty member will be assigned. The department conducts a review of the candidate utilizing the same procedures applicable to faculty candidates for determining appointment, rank, and tenure status (refer to the Process for Expedited Review of New Faculty Hires with Tenure at https://uh.edu/provost/faculty/faculty-resources/administrators/_files/hiring-tenure-guidelines.pdf).

The department chair forwards the results of the departmental review and vote to the dean, who then follows standard college procedures for faculty appointments. The dean sends the college recommendation with the supporting materials to Faculty Affairs in the Provost's Office.

The Provost conducts an independent review, with the advice of the University Promotion and Tenure Advisory Committee. Authority to approve all executive management employee appointments rests with the Chancellor and the Board. Executive management employees include individuals serving in the following positions: Chancellor, Vice Chancellor, General Counsel, President, Vice President, Vice/Associate and Assistant Provosts, Dean (Academic), Chief Audit Executive, and their equivalents (e.g., an administrative head of a recognized department reporting directly to the Chancellor or President). Faculty appointments made with tenure require prior approval of the Chief Academic Officer (Provost), President/Chancellor, and Board of Regents. Appointments involving the promotion of a tenured or tenure-track faculty member are subject to the approval of the Chancellor and Board of Regents upon recommendation of the President. No person shall be appointed as Dean or equivalent, or as Vice-President or equivalent, without prior consultation with the Chancellor and in accordance with the BOR Policy 57.10 – Executive Management Employees (<https://www.uhsystem.edu/board-of-regents/policies/>). No administrator may be given faculty status or tenure without a review and positive recommendation from the

academic unit involved. See also SAM 06.A.09 – Academic Personnel Policies (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/06-academic-affairs/06a09/>).

3.3 Employment of Non-citizens

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

While tenure may only be awarded to a faculty member who is a U.S. citizen or a U.S. Permanent Resident, under certain circumstances, a faculty member who is not a U.S. citizen or U.S. Permanent Resident may be reviewed for the award of tenure pending a change in immigration status. For additional details, contact the Office of the Faculty Affairs.

3.4 Criminal Background Checks

The university is committed to providing a secure and safe environment. Pursuant to SAM 02.A.37 – Background Checks for Employees (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/02-human-resources/02a37/>) and MAPP 02.03.05 – Background Checks for Employees (<https://www.uh.edu/policies/mapps/02-human-resources/020305/>), employment is contingent upon the satisfactory completion of the criminal background check. A criminal background check must be conducted by anyone under final consideration following normal screening and selection processes for employment.

3.5 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 and/or in Faculty Affairs in the Office of the Provost. Requests for hard copies of one's own file shall be made in writing to Human Resources. Refer to MAPP 02.05.01 – Access to/Maintenance of Personnel Records (<https://www.uh.edu/policies/mapps/02-human-resources/020501/>) and SAM 02.A.31 – Access to and Maintenance of Personnel Files (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/02-human-resources/02a31/>).

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

3.6 Primary Spoken Language of Teaching Personnel

In accordance with the Texas Education Code, section 51.917 (<https://statutes.capitol.texas.gov/Docs/ED/htm/ED.51.htm>), the University of Houston affirms that all courses offered for credit (with the exception of foreign languages and bilingual education) will be taught

by faculty/teaching personnel who are proficient in the spoken English language. To ensure full compliance with the Education Code, the University of Houston requires that all individuals who are employed as faculty/teaching personnel self-declare their level of proficiency in the use of the English language. Should it be self-disclosed or determined by the supervisor that a faculty member is not proficient in the English language, the faculty member must complete a course to become proficient at their own cost. For additional information, please contact the Office of Faculty Affairs for approved courses.

3.7 Faculty Administrators

All members of the faculty who serve on twelve-month administrative appointments in positions at or above the level of dean or its equivalent for a period of at least one year shall return at the conclusion of the administrative assignment to their respective faculty ranks with the salary base as determined by existing contract or current Board of Regents policy. This does not include individuals 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.

Unless otherwise stated in an appointment agreement, faculty administrators serve at the pleasure of their supervisor and can be terminated from their administrative role at any time, with or without cause.

3.7.1 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 people appointed from the outside, the initial negotiation should include all aspects of compensation. Administrative stipends are considered additional compensation and subject to review and approval as stated in university policy.

3.8 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 the employee's normal duties and outside normal work hours for which additional compensation may be justified. Work performed for the University of Houston outside of the employees' normal duties and outside normal work hours is considered an overload assignment. Additional compensation may be granted only with advanced 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.

1. Teaching regularly scheduled academic classes, including off-campus and instructional television, and teaching continuing education (non-credit) courses (including short courses, seminars, workshops, and conference) scheduled at the departmental, college, or university level.

2. Other special projects or assignments that are clearly outside the scope of activities or functions performed as part of the employee's regular job assignment.

Cumulative payments during a fiscal year for additional compensation will not exceed 20 percent of the employee's salary. Requests for additional compensation must be approved in advance of services being performed. Compensation provided through endowed professorships are included in the additional compensation limit. Additional compensation includes compensation from any university account. Research grants funded by external agencies are thus included in the term "additional compensation." Additional compensation to be paid from contract or grant accounts must have prior approval from the sponsoring agency before institutional approval can be given.

Amount of Additional Compensation

Faculty who are on less than a twelve-month contract may do research and be paid from research funds during the time not covered by that faculty member's contract. Compensation shall be at the faculty member's contract rate. An additional compensation form is not necessary in this instance.

With prior approval of the appropriate Dean and the Provost, faculty on nine-month contracts may receive additional compensation beyond their contract level. An equivalent of three months for those on nine-month contracts (one month for those on eleven months) may be received in additional compensation if properly approved prior to the activity or activities. 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 20% of the twelve-month salary in a fiscal year.

For assistant, associate dean, and chair stipends approved and on file in the Provost's office, no additional compensation forms are necessary. Faculty awards, human subjects participation payments, royalties, and other types of non-effort related additional payments are excluded from additional compensation limits. Note that endowed chair and professorship stipends count toward the additional compensation limit.

The requesting department is responsible for initiating the Request for Additional Compensation form (<http://www.uh.edu/human-resources/forms/addcomp.pdf>). 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 and approved by the Provost or Provost's designee. For more information or approval forms, call the unit administrator.

3.9 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 their 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 members' dean.

3.10 Benefits

The University of Houston offers a variety of benefit programs to benefits-eligible employees as defined in SAM 02.A.34 <https://uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/02-human-resources/02a34/> as part of its employment and compensation package (see SAM 02.C.01 – Employee Benefits Program at <https://uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/02-human-resources/02c01/>). An employee has the ability to select benefits that may be individualized to meet their needs and those of their dependents. Be aware that dependent eligibility is subject to occasional audits by the Employees Retirement System of Texas or their designee.

Automatic state benefits include sick leave, paid holidays, and a retirement program. Optional benefits include health and dental insurance, vision insurance, life insurance, disability insurance and supplemental retirement programs. For a full description of benefits, see <http://www.uh.edu/human-resources/benefits/>. Faculty are required to report sick leave if absence occurs during the normal working hours of the faculty member. Refer to SAM 02.A.20 – Hours of Work and Work Locations (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/02-human-resources/02a20/>).

3.11 Vacation Accrual for Faculty

A faculty member who is employed with the university on less than a twelve-month contract does not accrue vacation time. A faculty member who accumulates vacation time as the result of appointment to an administrative post, whether full- or part-time, should utilize all vacation accumulations prior to returning to an appointment of less than twelve months. It is the responsibility of the faculty member to see that the accumulated vacation time is used prior to the time the faculty member leaves the twelve-month position.

Vacation time should be used as normally scheduled, except when doing so would create serious administrative difficulties 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.

For more information on vacation leave, see Texas Govt. Code §§ 661.152 & 661.062 (<https://statutes.capitol.texas.gov/Docs/GV/htm/GV.661.htm>), SAM 02.D.01 – Vacation and Sick Leave (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/02-human-resources/02d01/>), and MAPP 02.02.03 – Leaves of Absence (<https://www.uh.edu/policies/mapps/02-human-resources/020203/>).

3.11.1 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 faculty member to see that the accumulated vacation time is used prior to the time the faculty member leaves the contract or grant. Department chairs/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.

3.12 Alterations in Conditions of Employment

3.12.1 Pregnant and Parenting Student, Employee, and Faculty Accommodations

The University of Houston has a vested interest in the long-term productivity and retention of its faculty. This Policy provides rules and procedures for the University of Houston to comply with state and federal laws prohibiting discrimination against pregnant and parenting persons. The University complies with the mandates of Title IX of the Education Amendments of 1972 (“Title IX”), the Family and Medical Leave Act of 1993, the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, Section 504 of the Rehabilitation Act (Section 504), the Pregnancy Workers Fairness Act (2024), and the Texas Commission on Human Rights Act, as applicable. SAM 01.D.16 - Pregnant and Parenting Student and Employee Accommodations (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01d16/>) and MAPP 12.05.01 – University of Houston Faculty Workload Policy (<https://www.uh.edu/policies/mapps/12-academic-affairs/120501/>) apply to faculty. Job restructuring or other workload redistribution should be accomplished by employing the Faculty Workload Policy.

3.12.2 Reassignment of Duties

Frequently, faculty find external funding for research. If any external compensation is disbursed through the University’s payroll, the faculty member will remain in a paid status with the university, and will be compensated using third party funds. Depending on the terms and circumstances of the external funding, research assignments must follow college procedures and be approved by the Provost. Refer to MAPP 12.05.01 – University of Houston Faculty Workload Policy (<https://www.uh.edu/policies/mapps/12-academic-affairs/120501/>).

3.12.3 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 for the faculty member during the VMOE period shall be negotiated and reflect the percentage 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, as determined by department/college policies.

D. **Duration.** A negotiated agreement for VMOE shall be for an initial period of one to three years.

E. **Procedures.**

1. Applications and recommendations for VMOE should be forwarded from the department chair to the dean and to the Provost no later than four months prior to the effective date that resignation or retirement is to take effect.
2. A faculty member who is accepted into this program will be notified by the dean of such participation within two months of their application. After the individual and the university reach an agreement regarding the VMOE, the faculty member shall promptly submit their commitment to relinquish their tenured status and resign before the start date of the VMOE.
3. 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. At the beginning of each academic year of the VMOE period, the individual and department chair shall agree, in writing, to the activities and duties that will constitute the faculty members' workload for the VMOE agreement.
4. For such reduced workload, and during its continuance, the university will pay the participant 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 shall be increased by an amount not less than that required to match 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.
5. 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.

6. A participant shall be entitled to all the benefits and amenities as allowed by state law and for which they qualify.
7. A participant's eligibility to draw retirement benefits from TRS or an ORP contract and their eligibility for membership in TRS or ORP will be governed by the laws and rules governing such eligibility.

3.13 General and Types of Leave Information

All absences of members of the faculty must be conducted in accord with state law and university policy and shall be reported to the appropriate department chair, dean, or director, and on Time and Effort Reports. Detailed information about the various leave types, including policies, and procedures, can be found in MAPP 02.02.03 – Leaves of Absence (<https://www.uh.edu/policies/mapps/02-human-resources/020203/>) and SAM 02.D.04 – Types of Employee Leave (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/02-human-resources/02d04/>), or contact Human Resources.

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

Faculty Development Leave, granted for either two contiguous academic semesters at one-half salary or for one long semester at base academic salary, provides an opportunity for full-time faculty to improve their professional effectiveness through research, writing, study, field observation, or other suitable professional activities. Faculty Development Leave is designed to enable faculty to engage in study, research, writing, and similar projects for the purpose of adding to the knowledge available to themselves, students, the University of Houston, and society. Faculty Development Leave with pay is awarded by the faculty member's college and approved by the Provost and Board of Regents. Faculty Development Leave is designed for tenured faculty who have held full-time, tenure-track positions at the University of Houston for at least seven years, except where that leave is supported by external funding. Upon return from Faculty Development Leave, the activities undertaken should be reviewed in the subsequent Annual Performance Review.

Candidates must present justification for the time needed to conduct research or carry out professional development for an extended period. To apply for Faculty Development Leave, candidates submit their requests to the deans of their colleges, following college policies. Upon review and recommendation by an elected committee, the dean then forwards the request to the Provost for approval. After Provost review and approval, applications will be presented to the Board of Regents at the May and August meetings for final approval. The activities undertaken during the faculty development leave will be utilized in the subsequent annual performance review.

3.13.2 Faculty 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. The administrator returning to a faculty role will prepare a proposal describing activities and goals of the leave. Review of the proposal will follow the same process as applications for Faculty Development Leave. The activities undertaken during the Faculty Development Leave will be utilized in the subsequent annual performance review. 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 (<https://statutes.capitol.texas.gov/Docs/ED/htm/ED.51.htm>), eligible administrators may also include department chairs or heads of programs. The administrator who receives Faculty 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.

3.14 Grievances

The University of Houston requires that all faculty members be treated fairly and consistently in all matters related to their employment. The university provides faculty with the right to express their grievances through informal and formal avenues. Retaliation in any form against any faculty member for presenting a grievance is prohibited and may itself be grieved. This grievance policy applies to all faculty members (tenured, tenure-track, and NTT) as well as librarians of the University of Houston Libraries. A detailed description of the grievance process may be found in the Faculty Grievance Policy at <https://www.uh.edu/provost/faculty/faculty-policies/grievance/>.

The grievance policy does not address allegations of unlawful discrimination, harassment, or sexual misconduct. Any allegations of unlawful discrimination, harassment, or sexual misconduct should be filed with the Office of Equal Opportunity Services (<http://www.uh.edu/equal-opportunity/>) in accordance with the University's Sexual Misconduct Policy (SAM 01.D.08; <https://www.uhsystem.edu/compliance-ethics/uhs-policies/sams/01-general-administration/01d08/>) or the University's Anti-Discrimination Policy (SAM 01.D.07; <https://www.uhsystem.edu/compliance-ethics/uhs-policies/sams/01-general-administration/01d07/>).

3.15 Grievances Involving Promotion and Tenure

Procedures governing the submission, review, investigation and hearing of grievances concerning tenure and promotion are distinct from this grievance process and can be found in the Faculty Grievance Policy (Tenure and Promotion) at <https://www.uh.edu/provost/faculty/faculty-policies/grievance/documents/grievance-procedures-promotion-and-tenure.pdf>.

3.16 Ombudsperson

The Ombudsperson is a neutral and impartial University of Houston employee whose major responsibility is to act as a resource for university faculty and staff members regarding issues and concerns related to their employment with the university. As a neutral and impartial university employee, the Ombudsperson is not an advocate for any individual or the university but, rather, is an informational source for faculty and staff members. Learn more at <http://www.uh.edu/ombuds/>.

The Ombudsperson does not address allegations of unlawful discrimination, harassment or sexual misconduct. More information regarding allegations on these issues can be found through the Office of Equal Opportunity Services (<https://www.uh.edu/equal-opportunity/>).

3.17 Separation

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

Resignation is the voluntary termination of employment by an employee.

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

Dismissal is the termination of employment of a tenured faculty member or of a probationary or non-tenured tenure-track faculty member before the term of appointment has expired. Dismissal may be justified by one or more of the following: adequate cause, financial exigency, medical reasons, constructive resignation, 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 and the System Office of General Counsel shall be made prior to any final action by the Board of Regents. Subject to final approval by the Board of Regents, the Chancellor/President has the authority to dismiss faculty after full and appropriate university due process. Recommendations for dismissal of tenure-track faculty are reviewed and approved by the Provost. The authority to dismiss a non-tenure-track faculty member prior to expiration of the specified term of appointment rests with the Provost. For full guidance, see Board of Regents Policy 21.07 – Faculty Dismissal (<http://www.uhsystem.edu/board-of-regents/policies/>) and SAM 06.A.09 – Academic Personnel Policies (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/06-academic-affairs/06a09/>).

3.17.1 Justifications for Dismissal

Dismissal may be justified by one or more of the following as per Board of Regents Policy 21.07.02:

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

1. grounds related to dishonesty or conduct involving moral turpitude that adversely affects the University or the faculty member's performance of duties or meeting professional responsibilities, or to demonstrated professional incompetence in teaching or research. Under this provision and in order to constitute a basis for dismissal, moral turpitude must also be conduct for which criminal prosecution would be permitted and that Texas Courts would deem a crime of moral turpitude;
2. grounds related to substantial and manifest neglect of professional or academic responsibilities, including continually or repeatedly failing to perform duties or meet professional responsibilities, as well as job abandonment. Job abandonment means failure or refusal to report to work, to perform the terms of employment, or to report notification of absence for more than five consecutive work days, except in cases of emergency, documented illness or injury, or when other specific notification arrangements have been made in agreement with the faculty member's supervisor;
3. grounds related to failing to successfully complete any post-tenure review professional development program;
4. grounds related to violating laws or University policies substantially related to performance of

- the faculty member's duties, including but not limited failure to report sexual harassment, sexual assault, dating violence, or stalking, as required by Texas Education Code 51.252;
5. grounds related to conviction of a crime affecting the fitness of the faculty member to engage in teaching, research, service, outreach, or administration;
 6. grounds related to engaging in unprofessional conduct that adversely affects the University or the faculty member's performance of duties or meeting of responsibilities;
 7. grounds related to falsifying the faculty member's academic credentials;
 8. 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 of tenured faculty. Untenured faculty will be given notice consistent with the university's non-reappointment guidelines.
- C. Medical Reasons.** Termination of employment may be justified by clear and convincing medical evidence that the faculty member cannot fulfill professional and academic obligations or the terms and conditions of appointment, with reasonable accommodation.
- D. Constructive Resignation.** A faculty member who, without permission of the department chair, dean, or Provost, fails to report to work for a period of time exceeding 30 days or fails to return to work after the expiration of an approved absence shall be deemed to have constructively tendered a resignation. In such a case, after written notice, the faculty member's employment will be terminated without initiating termination for cause. This does not apply if the faculty member has been approved for additional leave or if an exception is necessitated by state or federal law.
- E. Discontinuance of Academic Programs.** Termination of employment may be based on the discontinuance of all or part of an academic program reflecting long-range judgments concerning the educational mission of the university. Tenured faculty will be given a minimum of twelve months notice prior to termination of employment due to discontinuance of all or part of an academic programs. Untenured faculty will be given notice consistent with university non-reappointment guidelines. The University of Houston System shall develop policies and procedures that include the principles of shared governance.

3.17.2 Dismissal for Cause

When the decision for dismissal is based upon adequate cause as described in the preceding section (see Board of Regents Policy 21.07.02), dismissal of the faculty member shall be preceded by providing a written statement of charges to the faculty member, framed with reasonable particularity, from the Provost, and by filing the charges with the University of Houston Faculty Grievance Committee, and with the dean of the college or school of the faculty member. The remainder of the dismissal proceedings shall be preceded by discussions between the faculty member and appropriate college dean and department chair and an informal inquiry by the UH Faculty Grievance Committee, looking toward a mutual settlement. If these efforts at resolution are unsuccessful, the UH Faculty Grievance Committee may make a non-binding recommendation advising the Provost whether in its opinion dismissal proceedings should be undertaken as described in the Dismissal Hearing Procedures detailed below.

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

3.17.3 Summary Dismissal

As detailed in Board of Regents Policy 21.07.3 – Summary Dismissal (<http://www.uhsystem.edu/board-of-regents/policies/>), faculty may be subject to summary dismissal for committing extremely serious misconduct. This includes but is not limited to sexual misconduct, egregious scientific/research misconduct, fraud, violence or threat of violence in the workplace, intentional or knowing falsification of a faculty member's academic credentials; or conviction of a crime substantially affecting the fitness of the faculty member to engage in teaching, research, service, outreach, or administration.

Summary dismissal of a faculty member will proceed as follows:

- A. The faculty member will be provided with written notice of the allegations against them together with an explanation of the evidence supporting summary dismissal; and will be provided an opportunity for them to respond to the allegations in a hearing with the Provost of their respective university;
- B. The Provost will review any response from the faculty member and make a written determination of whether the University will proceed with the summary dismissal of the faculty member;
 1. A copy of the written determination will be promptly provided to the faculty member and will clearly indicate whether the faculty member will be subject to summary dismissal.
 - a. The written determination will include the effective date of the dismissal and information regarding the faculty member's opportunity for a post-dismissal appeal, if the Provost's decision is in favor of summary dismissal; or
 - b. The written determination will state that the faculty member is not subject to summary dismissal, if the Provost's decision is against summary dismissal.

If the Provost's written determination is to summarily dismiss the faculty member, then the faculty member will be provided with the opportunity for a post-dismissal appeal consistent with dismissal hearing procedures as set out in each institution's faculty handbook, which must include the rights of due process.

- C. If the Provost determines that the faculty member is not subject to summary dismissal, if appropriate, the University may choose to proceed under regular dismissal proceedings as governed by System and campus policies.

3.17.4 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 tribunal appointed by, but not from, the UH Faculty Grievance Committee in consultation with and agreement by the Provost or designee. The tribunal should have no less than five members of equal or higher rank than the faculty member. The Chair of the tribunal will be elected from among the tribunal members. Service of notice of the hearing with the specific charges in writing shall be made at

least 20 business days prior to the hearing.

- B. Tribunal 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 tribunal. The faculty member will be notified about the tribunal members and will have three business days from the receipt of notification of a single opportunity to request to replace up to two members. In the event that tribunal members are removed from the tribunal, the UH Faculty Grievance Committee will appoint additional members, in consultation with and agreement by the Provost or designee, such that the initial size of the tribunal is maintained.
- 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 them, or asserts that the charges do not support a finding of adequate cause, the tribunal shall evaluate all available evidence and rest its recommendation upon the evidence in the record.
- D. The faculty member shall be afforded an opportunity under a reasonable period of time that shall not exceed 10 business days to obtain necessary witnesses and documentary or other evidence. The administration shall cooperate with the tribunal in securing witnesses and in making documentary and other evidence available.
- E. The tribunal 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.
- F. The hearing shall be public or private, in accordance with the faculty members' wishes. If the faculty member declines to express a preference, the tribunal shall exercise its judgment as to whether the hearing should be public or private.
- G. The burden of proof that adequate cause for termination or dismissal exists rests with the university administration.
- H. During the proceedings, the faculty member shall be permitted to have an academic advisor or counsel of their choice present at the hearing. However, if the faculty member chooses to have their legal counsel attend the proceedings, then they must notify the tribunal chair in writing 10 business days prior to the hearing so that a member of the UH Office of General Counsel may attend the proceedings. At the request of either party or the tribunal, a representative of an appropriate professional association shall be permitted to attend the proceedings as an observer.
- I. An accurate record of the hearing or hearings shall be taken, and the official transcript or electronic recording shall be made available to the faculty member, without cost, at the faculty member's request.
- J. The tribunal shall grant adjournments to enable either party to investigate evidence about which a valid claim of surprise is made. The tribunal shall establish a reasonable period of time to allow either party to investigate such evidence, which shall not exceed 10 business days.
- K. The faculty member and the department chair, dean, and university officers involved with the

dismissal proceedings shall have the right to address and cross-examine all witnesses. Where those witnesses cannot or will not appear, but the tribunal determines that the interests of justice require admission of their statements, the tribunal shall identify the witnesses, disclose their statements, and, if possible, provide for examinations and cross-examinations.

- L. In a hearing of charges of professional incompetence, the testimony shall include that of qualified faculty members from this or other higher education institutions.
- M. The tribunal 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 tribunal 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 conclusion by the tribunal, the faculty member shall be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to themselves or others is threatened by their continuance. Before suspending a faculty member and pending an ultimate determination of their status through the dismissal hearing procedures, the administration shall consult with the UH Faculty Grievance Committee concerning the propriety, the length, and other conditions of the suspension. Except in extreme circumstances as determined by the Provost and the Office of General Counsel in consultation with the UH Faculty Grievance Committee, such as cases prompting summary dismissal, the salary of the faculty member shall be continued during the period of suspension.
- Q. If the tribunal 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 tribunal concludes that the case for dismissal has been established, it shall recommend to the Chancellor/President and the Provost either dismissal or, if it believes it more appropriate, a lesser academic penalty (such as but not limited to a sanction, requirement to attend training, letter of reprimand, leave without pay). 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 the Faculty Tribunal Committee

On completion of the tribunal's work:

- A. The Chancellor/President, the Provost, and the faculty member shall be notified in writing of the decision of the tribunal 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 their recommendation to the Board of Regents. If the recommendation differs from that of the committee, the Chancellor/President shall state their reasons for disagreement in writing to the tribunal and to the faculty member and shall provide an opportunity for response before transmitting the case to the Board of Regents.

- 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 of Regents shall provide opportunity for statements, oral or written determined by the Board of Regents, by the faculty member and the person initiating the dismissal proceedings or by their representative.
- D. Either the decision of the tribunal shall be sustained by the Board of Regents, or the proceeding shall be returned to the Chancellor/President, with specific objections, for reconsideration by the tribunal. The tribunal shall reconsider the matter, 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 their own recommendation to the Board of Regents, who, after study of the reconsideration, shall make the final decision.

Termination Proceedings

If the appointment is terminated for any of the reasons defined above, the faculty member shall receive salary up to the effective date of termination, except in the case where salary has been discontinued during suspension. On the recommendation of the *ad hoc* faculty tribunal 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.

3.17.5 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 their representative has been informed of the basis of the proposed action and has been afforded an opportunity to present their position and to respond to the evidence. If the faculty member so requests, the evidence shall be reviewed by the UH Faculty Grievance Committee before a final decision is made by the Board of Regents on the recommendation of the Chancellor/President. Refer to Board of Regents Policy 21.07.2 (<http://www.uhsystem.edu/board-of-regents/policies/>).

3.17.6 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 all or part of a program or academic department, faculty members shall be able to have the issues reviewed by the UH Faculty Grievance Committee, with ultimate review of all controverted issues by the Provost and Chancellor/President. In every case of financial exigency or discontinuance of all of part of a program or academic department, the faculty member concerned shall be given notice as prescribed in the financial exigency and/or discontinuance of all or part of academic programs as per UH Board of Regents Policy 21.07.2 (<http://www.uhsystem.edu/board-of-regents/policies/>) and described below. Before terminating an appointment because of the discontinuance of all of part 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 all of part 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.

3.17.7 Financial Exigency Policy

- A. ***Definition of Financial Exigency.*** For the purposes of this policy, a financial exigency is an actual or impending financial crisis that threatens the survival of the university in its current structure and which cannot be alleviated by less drastic measures than terminating tenured, tenure-track, and promotion-eligible NTT faculty. Words like "crisis" and "survival" are used to make it clear that an exigency must involve extremely serious financial problems, and not merely minor or temporary budget difficulties. Further, the financial problems must threaten the existence of the entire university, and not just a part thereof. The definition of financial exigency also embodies its primary consequence, the authority to dismiss tenured, tenure-track, and NTT faculty with renewable employment agreements. This is a drastic step that should be taken only after all reasonable alternatives have been exhausted. The declaration of an exigency requires that the dismissal of tenured, tenure-track, and NTT faculty with renewable employment agreements is likely, even if such dismissals are not imminent.
- B. ***Consultation Prior to Declaration of Exigency.*** When the Chancellor/President believes a *bona fide* financial exigency exists, they shall promptly inform and seek the advice of the Dean's Council and the Faculty Council. The request for advice shall be accompanied by written supporting documentation, including detailed financial data. The Faculty Council shall promptly inform and seek the advice of the appropriate groups, including the committees of the Faculty Council and the Student Government Association. Each group will be invited to present its reactions to the Faculty Council. The Faculty Council, 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 Council, and groups that disagree with the positions taken by the Faculty Council can present their views directly to the Chancellor/President and the Provost. The Chancellor/President will provide advice and recommendation 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, Provost, and the Faculty Council. The declaration of an exigency requires the affirmative vote of the Board of Regents 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 Council. Proposals to terminate all or part of, or significantly alter, academic programs shall be submitted for consideration to the Faculty Council 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. 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 and/or NTT faculty with renewable employment agreements in one program while untenured faculty are retained in another program. Academic considerations will be primary in making program and personnel decisions.

- F. ***Consideration of Less Drastic Alternatives Prior to Termination of Faculty.*** Prior to issuing notices of dismissal to tenured, tenure-track faculty and non-tenure-track faculty with renewable employment agreements or canceling academic programs, the Chancellor/President shall give careful consideration to all reasonable alternatives including but not limited to the following:
1. An early retirement program.
 2. Voluntary leaves of absence or part-time employment.
 3. Transfer of faculty to other positions with the University of Houston for which they are qualified.
 4. Reduction or postponement of non-academic expenses.
 5. Sale of assets and other means to increase revenue.
- G. ***Order of Termination.*** Except in extraordinary circumstances where a serious distortion of an academic program would otherwise result, non-tenure-track faculty within a program shall be terminated before any tenure-track faculty are terminated, and any untenured faculty within a program shall be terminated before any tenured faculty are terminated. Where consistent with the academic needs of the university, preference to retain employment shall be given to tenured faculty of higher rank, and to more senior faculty within the same rank.
- H. ***Termination Notice and Procedure.*** Termination of tenured faculty, tenure-track faculty with at least eighteen months probationary service and NTT faculty with renewable employment agreements requires notice of at least twelve months. Recommendations for the dismissal of tenured, tenure-track, and NTT faculty with renewable employment agreements are reviewed by the Provost for recommendation to and action by the Chancellor/President. The final decision is made by the Board of Regents. In all cases the 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 UH Faculty Grievance Committee and/or through the Office of Equal Opportunity Services. The burden of proof in dismissal proceedings rests with the university. Among the issues to be considered by the review panels are:
1. Adherence to the plan for retrenchment.
 2. Compliance with procedural requirements.
 3. 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
- J. ***Policies Related to Financial Exigency.*** 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. The following policies will be followed with regard to tenured, tenure-track, and NTT faculty with renewable employment agreements and faculty dismissed due to financial exigency.
1. Job placement services will be provided.
 2. Eligibility to participate in state premium sharing and group insurance programs sponsored by the university will continue while employed. 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. 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 their position, they

will assume the same seniority, including tenure and rank, as was previously held to the extent allowed by law.

- K. ***Termination of Exigency.*** The declaration of a financial exigency is made by the Board of Regents. 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.

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

This policy covers only those situations which involve the termination of tenured, tenure-track, and promotion eligible NTT faculty because of discontinuance of all or part of a program, department, or college including situations in which programs, departments, or colleges are merged (whose creation or initiation would require approval by the Board of Regents).

- A. ***Process for Discontinuance.*** The recommendation to discontinue all or part of 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, tenure-track, or promotion eligible NTT faculty is necessary, they shall inform and seek the advice of the Deans Council and the Faculty Council. The request for advice shall be accompanied by written supporting documentation. The Faculty Council will, in turn, provide advice and consultation to the Chancellor/President and Provost. Disagreements should be noted by the Faculty Council, and groups that disagree with the position taken by the Faculty Council may present their views directly to the Chancellor/President and the Provost.
- C. ***Declaration of Discontinuance.*** The decision to discontinue all or part of 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. Termination of faculty appointments or major changes in academic programs must conform to the principles established in the plan, as well as the provisions of this document. The plan may provide for the termination of tenured faculty and/or NTT faculty with renewable employment agreements in one program while untenured faculty and NTT faculty without renewable employment agreements are retained in another program. Academic considerations will be primary in making program and personnel decisions.
- 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 Council.
- E. ***Consideration of Less Drastic Alternatives Prior to Termination of Faculty.*** Prior to issuing notices of dismissal to tenured, tenure-track and/or promotion eligible NTT faculty or canceling all or part of 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, NTT faculty on probationary contracts within a program shall be terminated before NTT faculty with renewable employment agreements. NTT faculty on probationary or renewable contracts shall be terminated before any tenure-track faculty are terminated, and untenured faculty within a program shall be terminated before any tenured faculty are terminated. Where consistent with the academic needs of the university, preference to retain appointment shall be given to tenured faculty of higher rank and more senior faculty within the same rank.

G. **Termination Notice and Procedure.** Termination of tenured faculty and tenure-track faculty with at least eighteen months probationary service or NTT faculty with renewable employment agreements requires notice of at least twelve months. Tenure-track faculty in the first year of probationary service must be given notice of termination at least three months before the end of the academic year. Tenure-track faculty in the second year of probationary service must be given notice of termination at least six months before the end of the academic year. Recommendations for the dismissal of tenured, tenure-track, and NTT faculty with renewable employment agreements are reviewed by the Provost for recommendation to and action by the Chancellor/President. The final decision is made by the Board of Regents. In all cases the Chancellor/President shall exercise due diligence to ensure that actions taken to give notice of termination conform to all applicable state and federal laws.

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 UH Faculty Grievance Committee and/or the Office of Equal Opportunity Services. The burden of proof in dismissal proceedings rests with the university. The findings of the Faculty Council regarding the discontinuance may be introduced in review proceedings. Among the issues to be considered by the UH Faculty Grievance Committee and/or the Office of Equal Opportunity Services are:

1. Adherence to the plan to discontinue.
2. Compliance with procedural requirements.
3. 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.

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

1. Job placement services will be provided.
2. 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 their position, they will assume the same seniority, including tenure and rank, as was previously held to the extent allowed by law.

4 Faculty Expectations and Evaluation

4.1 Expectations of Faculty and Faculty Workload

To carry out the core mission of the University, faculty members engage in a variety of activities that are traditionally categorized as research/scholarship, teaching/instruction, service, and where applicable patient care and administration. The discovery and dissemination of knowledge through research and scholarship, artistic and scholarly endeavors, and service to the college, university, community, government agencies, and professional organizations associated with the various university disciplines combined with teaching to fulfill the academic workload requirements of faculty. Individual faculty member's time and effort within these workload domains 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 and where applicable patient care and administration will also vary with the type of faculty appointment (tenured, tenure-track, non-tenure-track) and national expectations in the disciplines at research-intensive universities. Consistent with the goals and mission of the University of Houston, it is expected that the academic workload of faculty will be in line with those of other research-intensive universities.

Regardless of the type of faculty appointment, all full-time faculty members at the University of Houston are expected to work a minimum of 40 hours a week during the academic year. In the case of tenured and tenure-track faculty members, total effort (i.e., 100%) is usually distributed across research/scholarship, teaching/instruction, service, and where applicable patient care and administration. 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). Refer to *MAPP 12.05.01 – University of Houston Faculty Workload Policy* (<https://www.uh.edu/policies/mapps/12-academic-affairs/120501/>) and SAM 02.A.20 – Hours of Work and Work Locations (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/02-human-resources/02a20/>).

When faculty members also have administrative responsibilities, there may be additional supervisory requirements that must be met to be eligible for merit. Refer to the *Office of Provost's web page for guidance* (<http://www.uh.edu/provost/>).

4.2 Faculty Work Locations

Texas Government Code, Section 658.002 (<https://statutes.capitol.texas.gov/Docs/GV/htm/GV.658.htm>) has set regulations regarding the working hours for salaried regular, full-time state employees, including both faculty and staff. Texas Government Code, Section 658.010 (<https://statutes.capitol.texas.gov/Docs/GV/htm/GV.658.htm>) has provisions regarding where work can be performed by state employees, including both faculty and staff. It specifies that state employees are to conduct University-related work at their regular or assigned place of employment during normal office hours unless one of the following conditions is met:

- A. Travel: The employee is travelling for University-related business; or
- B. Prior Authorization: The employee has received prior written authorization from the responsible vice president to perform work elsewhere.

The regular or assigned place of employment is to be in the State of Texas, physically present at the University campus. The alternate work location authorized by the responsible vice president must be

located in the State of Texas and also must be reasonably close enough to the University campus so, if necessary, the employee can be physically present at their regularly assigned place of employment on the same day as needed. The Chancellor must approve any alternate work location outside of the State of Texas, and approval will only be considered in cases where the employee's essential job duties and responsibilities can only be accomplished by the employee working outside the State of Texas. Refer to SAM 02.A. 20 – Hours of Work and Work Locations (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/02-human-resources/02a20/>).

4.3 Standards of Conduct

State law establishes certain standards of conduct and ethics for all State employees, including UH faculty. Violations of these standards by any employee may result in disciplinary action up to termination of employment, as well as civil or criminal penalties. The standards prohibit conduct which would, or reasonably could, unduly influence employees in their duties, induce the disclosure of confidential information, impair independence of judgment, create conflicts of interest, or otherwise accept any benefit for having exercised their official duties in favor or another. SAM 02.A.29 (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/02-human-resources/02a29/>) sets forth standards of conduct for employees in accordance with Texas Education Code Section 51.9337 (<https://statutes.capitol.texas.gov/Docs/ED/htm/ED.51.htm>), Texas Government Code Section 572.051 (<https://statutes.capitol.texas.gov/Docs/GV/htm/GV.572.htm>), and Board of Regents Policy 57.01 and 81.01 (<https://www.uhsystem.edu/board-of-regents/policies/>).

4.3.1 Conflicts of Interest

UHS Board of Regents Policy 57.01 (<http://www.uhsystem.edu/board-of-regents/policies/index.php>) and SAM 02.A.29 (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/02-human-resources/02a29/>) describe the expectations of all employees related to conflicts of interest and outlines conflict of interest prohibitions. All University employees must avoid conflicts of interest, generally described as the use of one's university employment or position to obtain unauthorized privileges, benefits, or things of value for oneself or others. *See also* Tex. Govt. Code 572.051 (<https://statutes.capitol.texas.gov/Docs/GV/htm/GV.572.htm#572.051>).

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

- A. Personal remuneration from a private or governmental agency for work accomplished with University of Houston equipment, personnel, or facilities when a grant or contract for such work has not been awarded to the university (see Consulting under General Policies Applicable to All Employees, including Faculty section on this document for exceptions).
- B. Awarding contracts or subcontracts to a private organization in which the individual has a financial interest.

Failure of any employee to comply with state law and University/System policy shall constitute grounds for disciplinary action, up to and including termination of employment.

Note that additional conflict of interest requirements, including annual certification and disclosure, apply to research investigators involved in the design, conduct, or reporting of funded research. See the Conflict of Interest Committee (Research) section of this handbook and SAM 01.G.03 (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01g03/>).

4.3.2 Conflicts of Commitment

Conflicts of commitment involve situations in which an employee's outside activities interfere with the employee's duties and responsibilities to UHS, including their commitment of time and intellectual energies. All University employees must avoid conflicts of commitment and are required to complete annual training. See Conflicts of Interest and Related Disclosures (<https://uhsystem.edu/resources/compliance-ethics/conflicts-of-interest/>), Board of Regents Policy 57.01.2 – Code of Ethics (<https://www.uhsystem.edu/board-of-regents/policies/>), and SAM 02.A.29 – Ethical Conduct of Employees (<https://uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/02-human-resources/02a29/index.php>).

4.3.3 Outside Activities

Full-time members of the faculty and professional or administrative staff may engage in outside professional activities, provided such activities benefit the System and/or contribute to the professional development of the individual. This privilege is subject in all instances to specific conditions as established in Board of Regents Policy 57.01.2 – Code of Ethics (<http://www.uhsystem.edu/board-of-regents/policies/index.php>), and further detailed in SAM 02.A.08 – Outside Activities/Interests Disclosures (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/02-human-resources/02a08/>). The first responsibility of the faculty member is to the university, and outside professional commitments must not interfere with the employee's duties and responsibilities to the university, including their commitment of time and intellectual energies. The time commitment expected of any outside activity described in the policy should generally be not more than eight hours per calendar week, but in no event exceed a maximum of 32 hours per month. Additionally, when any of an individual's salary is paid from funds for externally sponsored activities, the time allowable for outside activities must comply with sponsor requirements. Before agreeing to any outside consulting or paid professional service, employees should complete the Outside Activities Form at <https://uhsystem.edu/compliance-ethics/docs/outside-activities-form.pdf>. Failure to comply with these policies may subject an employee to disciplinary action including reprimand, suspension, or termination.

Pre-approved Outside Activities. While many outside activities require prior approval, certain outside activities are so integral to UHS's mission that they do not require prior approval so long as the activity does not create, or create the appearance of, a conflict of interest or conflict of commitment. Pre-approved activities include:

- Acting in an editorial capacity for a professional journal;
- Reviewing journal manuscripts, book manuscripts, grant or contract proposals, theses or dissertations;
- Attending and presenting talks at scholarly colloquia and conferences;
- Developing scholarly communications in books, journal articles, television productions and similar works, even when such activities result in financial gain, consistent with intellectual property and UHS or university policies and guidelines. (However, prior approval is required if an employee will be paid by an outside entity to conduct research related to their area of expertise);
- Serving as a committee member or an officer of a professional or scholarly organization; and
- Serving on a grant review committee.

4.3.4 Nepotism Policy

Relatives of members of the Board shall not be employed by the System unless the employment took place at least one year prior to the appointment of the Board member. Relatives of other System

employees shall not be employed by the System in positions where the employee has the official authority to hire or recommend or approve the hiring, salary, or promotions of the relative. Relatives shall not be employed in the supervisory-subordinate relationship even if it results from marriage after the employment relationship was formed. The provisions of this policy apply to all System programs regardless of funding source. For additional information, see Board of Regents Policy 57.01.4 – Nepotism (<http://www.uhsystem.edu/board-of-regents/policies/index.php>). See also SAM 02.A.21 - Nepotism (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/02-human-resources/02a21/>).

4.3.5 University Employee Governmental Appearances

Per the UHS Board of Regents Policy 81.01 – Governmental Appearances (<http://www.uhsystem.edu/board-of-regents/policies/index.php>) and SAM 09.A.01 – Governmental Relations Communications and Appearances (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/09-governmental-relations/09a01/>), 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.

4.4 Faculty Annual Performance Review

As specified in Board of Regents Policy 21.11 – Faculty Performance Evaluations (<http://www.uhsystem.edu/board-of-regents/policies/index.php>), each year all faculty members will undergo a comprehensive review evaluating each faculty member’s contributions in teaching, research/scholarship, and service and where applicable patient care and administration based on individual department or discipline standards and the requirements of the UH Faculty Annual Performance Review Policy (F-APR) (see <https://uh.edu/provost/policies-resources/faculty/policies/performance/>). The goal of the UH F-APR policy is to provide a general common framework applicable to ALL academic departments at UH within which they will conduct and manage their F-APR process. This policy is intended to outline an open, fair, and transparent F-APR process. The F-APR results should inform and guide decisions on merit-based adjustments. In enacting this policy, the Office of the Provost does not intend to dictate to individual departments or disciplines the relative importance of one specific activity compared to another. However, in creating individual unit/departmental F-APR policies under this policy, it is incumbent upon the unit/department to ensure that the faculty activities identified as being of value are also clearly aligned with the strategic goals of the department/unit, college, and university.

4.5 Student Evaluations of Teaching

As required by Texas Education Code 51.974 (see <https://statutes.capitol.texas.gov/Docs/ED/htm/ED.51.htm>), 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 and performance reviews.

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.

Further information is available from the Measurement and Evaluation Center (MEC) at <https://uh.edu/measurement-evaluation-center/faculty-course-evaluation/>.

4.6 Post-tenure Review

The UH Post-Tenure Review (PTR) policy is intended to ensure that tenured faculty members at the University of Houston continue to meet performance and productivity expectations set by their academic units and the University. In the case of a tenured faculty member who fails to meet annual performance expectations as evaluated via the Annual Performance Review, it is reasonable for an academic unit and the University to assume that this is a valid indicator that a tenured faculty member is failing to meet these performance and productivity expectations. Under such circumstances, this policy requires that the tenured faculty member undergo a post-tenure review to address such performance and productivity issues. Intended to be formative and collaborative in nature, the goal of the PTR process is to provide specific guidance and appropriate assistance in helping the tenured faculty member return to the performance and productivity levels expected of them by their academic unit and the University. This policy and the PTR process it describes are grounded in the principles of peer review, academic freedom, and due process. The UH PTR policy can be found at <https://uh.edu/provost/faculty/faculty-policies/performance-eval-tenure/>. For specific guidance related to post tenure review, see Board of Regents Policy 21.11.3 – Post Tenure Review (<https://uhsystem.edu/board-of-regents/policies/index.php>) and Texas Education Code Section 51.942 (<https://statutes.capitol.texas.gov/Docs/ED/htm/ED.51.htm#51.942>).

4.7 Faculty Excellence Awards

The Faculty Excellence Awards recognize outstanding faculty members who demonstrate exceptional teaching, research, and service at the University of Houston. Awards may include

- Esther Farfel Award
- Moores Professorship
- Teaching Excellence Awards
- Global Faculty Award
- Undergraduate Research Mentor Awards
- Piper Professor Award
- Outstanding Graduate Mentor
- Outstanding Population Health Publication
- Awards for Excellence in Research, Scholarship, and Creative Activity

Full details may be found at <https://uh.edu/faculty-awards/> and <https://uh.edu/research/funding-opportunities/internal-awards/excellence/>.

4.8 President's Circle Awards

The annual President's Circle Awards honor faculty accomplishments as scholars, researchers, and

academic innovators. The awards recognize faculty for earning national recognition, contributing to high-impact publications, obtaining patents, producing single-author books, and receiving major grant awards.

5 Promotion and/or Tenure

These policies relate to the renewal or non-renewal of appointments of all tenure-track faculty and to promotion actions for all tenure-track, tenured, and non-tenure-track promotion-eligible faculty members. The primary responsibility for faculty review lies within the candidate's department and college. It is, therefore, critical that the departments and colleges set their own criteria and quality standards. The promotion and tenure policies are designed to ensure that high standards are maintained and 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 clarify vagueness and/or correct factual errors before any recommendation is forwarded to the next level of review. It should be noted that an approved faculty request for an extension of the probationary period should not reflect negatively on that individual's review for tenure. Internal and external reviewers will be given guidance that the faculty member may have had extensions in their probationary period for approved reasons, but they should be reviewed as if they had a normative timeline in rank. The University of Houston policies are guided by principles delineated by the American Association of University Professors (AAUP; <http://www.aaup.org>).

5.1 Guidelines for Tenure-Earning and Tenured Faculty

For a detailed description of the tenure and promotion process, expectations, and timeline for tenure-earning and tenured faculty, see <https://uh.edu/provost/faculty/policies-and-procedures/promotion-and-tenure/>.

5.2 Guidelines for Non-Tenure Track (NTT) Faculty

For detailed description of the promotion process, expectations, and timeline for promotion-eligible non-tenure-track faculty, see <https://uh.edu/provost/faculty/policies-and-procedures/faculty-policies/non-tenure-track/>.

5.3 Tenure

Tenure at the University of Houston is awarded by the Board of Regents upon the recommendations of the Chancellor/President, in the normal course of promotion and tenure review, upon the recommendation of the Provost and upon the basis of recommendations initiated by departments and reviewed carefully by the colleges and the University Promotion and Tenure Advisory 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 continue to 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, who will then transmit to the Board of Regents, 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. However, administrators might also hold underlying tenured faculty appointments after appropriate review and approval at all levels specified

above.

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 Board of Regents upon recommendation by the Provost, new faculty offers of appointment with tenure may be made as provided in System Administrative Memorandum 06.A.09 Academic Personnel Policies (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/06-academic-affairs/06a09/>), subject to approval by the Board of Regents. 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 (<http://www.uhsystem.edu/board-of-regents/policies/index.php>). No administrator may be given faculty status or tenure without review by and positive recommendations from the appropriate committees in the academic unit involved. No existing tenured faculty member may be given tenure in another academic unit 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 Advisory 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, in cases of financial exigency, medical reasons, constructive resignation, discontinuance of all or part of academic programs, or retirement (see Board of Regents Policy 21.07 – Faculty Dismissal (<http://www.uhsystem.edu/board-of-regents/policies/index.php>), SAM 06.A.09 – Academic Personnel Policies (<http://www.uh.edu/af/universityservices/policies/sam/>)).

5.3.1 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 non-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. 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 they were 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 they were notified of denial, or until the faculty member is no longer legally authorized to be employed with the university, whichever occurs first. Termination for failure to obtain U.S. permanent resident status is not subject to review by the Grievance Committee.

5.3.2 Appointment with Tenure

For guidance regarding appointments with tenure, refer to the Process for Expedited Review of New Faculty Hires with Tenure (<https://uh.edu/provost/faculty/faculty-resources/administrators/files/hiring-tenure-guidelines.pdf>).

5.4 Non-renewal of Appointment of a Tenure-Track Faculty Member

As detailed in the Promotion and Tenure Guidelines (<https://uh.edu/provost/faculty/policies-and-procedures/promotion-and-tenure/>), 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 (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/06-academic-affairs/06a09/>).

- A. For tenure-track faculty in the first academic year of the probationary period, notice must be given no 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 no 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 no 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.

5.5 Probationary Period Extensions

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 care of that child may 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 their Department Chair/department head and Dean in writing of a request for extension within six months of the birth or adoption of the child. The Dean/college will forward that request to Faculty Affairs. Once approved by the Provost, the Faculty Affairs 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 Department Chair/department head and Dean. See the current Provost's Promotion and Tenure Guidelines at <http://www.uh.edu/provost/policies-resources/faculty/promotion-tenure/>.

Extension of the Probationary Period for Emergencies

An untenured tenure track faculty member has the right to request an extension of the probationary period because of serious illness, family emergencies or other serious personal circumstances. Circumstances that may justify an extension include, but are not limited to, serious illness and injury, or other serious disruptions or unexpected reasons beyond the faculty member's control. See the current Promotion and Tenure Guidelines for full details (<http://www.uh.edu/provost/policies-resources/faculty/promotion-tenure/>).

Requests must be made in writing and submitted within six months after the emergency circumstances or personal circumstances occur, unless the reason for the request involves prolonged, systemic disruption to the academy. The request must be forwarded through the Department Chair/department head and Dean to the Provost via Faculty Affairs. Faculty Affairs will inform the Dean, Chair, and faculty member of their decision and the modified year of tenure review. These decisions should be made as soon as practicable.

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

Maximum Number of Extensions of the Probationary Period and Timeliness of Requests

As specified in the Promotion and Tenure Guidelines (<http://www.uh.edu/provost/policies-resources/faculty/promotion-tenure/>), the extension of the probationary period may occur at most twice (for a total of two years) for all reasons. Requests for extensions of the probationary period must occur within six months after the event has occurred and will not be considered after March 1 of the academic year prior to the tenure review period.

6 Research, Scholarship, and Creative Activities

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

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

6.1 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. See Board of Regents Policy 21.03 on Academic Freedom (<https://www.uhsystem.edu/board-of-regents/policies/>). It is recognized that some proprietary research requires a delay in publication. However, the basic tenet is that faculty members will be able to publish their results within a reasonable time. During the negotiation of sponsored agreements, this tenet will be carefully reviewed, and any restriction of prohibitions on publications must be agreed to by the project director or Principal Investigator prior to acceptance of the award.

6.2 Research Oversight Committees

6.2.1 Institutional Review Boards

The University of Houston's Institutional Review Boards (IRBs) are charged with the responsibility for reviewing all research involving human subjects, defined as "living individuals about whom an investigator (whether professional or student) conducting research (i) obtains information or biospecimens through intervention or interaction with the individual and uses, studies, or analyzes the information or biospecimens; or (ii) obtains, uses, studies, analyzes, or generates private identifiable biospecimens." IRB review is required whether such research is externally or internally funded, or non-funded. Review is based on the Belmont Report and in accordance with the Department of Health and Human Services (DHHS) and United States Food and Drug (FDA) regulatory requirements (Title 21 CFR Part 56 and Title 21 CFR Part 50), as applicable. The IRB also considers additional requirements specific to funding agencies, as well as the Health Information Portability and Accountability Act (HIPAA) and the Family Educational Rights and Privacy Act (FERPA) when applicable to a research project. IRB protocols are made through the IRB module of the Integrated Compliance Oversight Network (ICON) online system. Full detail on the Human Subjects Program is found at <https://www.uh.edu/research/compliance/irb/>.

Payments to Human Subjects

Payments to research subjects and the protection of their confidentiality must comply with the guidelines of the funding agency, the Office of Contracts and Grants, the University's Institutional Review Boards, and the Internal Revenue Service. Compensation must be approved by the IRB as part of the research protocol, be appropriate to the subject population and research procedures, and cannot be considered undue influence to participate. Researchers should consult with the college business administrator prior to

starting the research project to determine the most appropriate method for compensating subjects. See MAPP 05.02.04 – Payments to Human Subjects and Participants in Sponsored Projects (<https://www.uh.edu/policies/mapps/05-finance-and-accounting/050204/>).

6.2.2 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, who serves as the Institutional Official (IO). The IACUC is a faculty peer committee 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), ensuring all research personnel are appropriately trained, post-approval monitoring of ongoing research, and conducting compliance investigations, as necessary. In addition, the IACUC ensures that animal research conducted at the University of Houston remains in full compliance with federal, state, and local regulations and institutional policies and requirements of AAALAC International.

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 utmost 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. More information about IACUC is available at <https://uh.edu/research/compliance/iacuc/>.

Separate and distinct from the IACUC is the Animal Care Operations department, whose focus is to provide the care and welfare of the animals used in research on the UH campus. It should be noted that the IACUC is not involved in the day-to-day business operations of Animal Care Operations. However, the husbandry staff, administrative staff, facility staff, and veterinary staff of Animal Care Operations all contribute to the proper care of the animals. The staff of Animal Care Operations care deeply about all animals used in the UH educational programs and take their responsibility seriously as a steward of the animals.

The Executive Director of Animal Care Operations serves as the Attending Veterinarian, a federally mandated position, and is responsible for animals' well-being and clinical care used in research, testing, teaching, and production. This responsibility extends to monitoring and promoting animal well-being during animal use and all phases of the animal's life. As a member of the IACUC, the Attending Veterinarian has responsibility for animal protocol review and inspections but does not hold a leadership position on the committee.

6.2.3 Conflict of Interest Committee (Research)

The university has both a federal and ethical responsibility to review, and manage as appropriate, financial conflicts of interest in research to avoid the potential for, or appearance of, bias in research outcomes. The Financial Conflict of Interest in Research policy (SAM 01.G.03, <https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01g03/>) applies to all employees who fall under the definition of Investigator, defined as the project director or Principal Investigator, and any other individuals, regardless of title or position, who

are responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding. Additionally, any research team member who indicates a financial interest related to the submission of a human or animal research protocol must complete a certification.

All individuals meeting the definition of Investigator must certify their knowledge of and compliance with the policy by completing a conflict of interest certification at least annually, based on a rolling due date. Certifications and associated disclosures must also be actively updated or confirmed to be accurate:

- Prior to expenditure of any funds for a new award;
- If unrelated to proposals for funding, at the time of submission of human or animal protocols if financial relationships related to the research exist; and/or
- Within 30 days of discovering or acquiring (e.g., through purchase, marriage, or inheritance) a new significant financial interest.

Disclosures and management plans are reviewed by the UH Conflict of Interest Committee (COIC). The COIC advises the Vice Chancellor/Vice President for Research, who is the designated Institutional Official (IO). All management plans are assigned to a named monitor and report to the COIC on a routine basis until the conflict no longer exists. Colleges, Departments, and Center Directors are responsible for ensuring that investigators submit annual certifications and disclosures, that the assigned monitor adheres to the reporting timeline, and that management plans are carried out until the completion of the research. For more information, visit the website at <http://www.uh.edu/research/compliance/coi/>.

6.2.4 Safety Compliance Assistance

The Division of Research (DOR) is the campus office charged with adherence to rules and regulations concerning safety matters relating to research. DOR cooperates with the Environmental Health and Safety (EHS) Office, as necessary, to ensure compliance with these regulations, where appropriate (<https://uh.edu/ehs/>). MAPP 06.02.03 – Environmental Health and Safety (<https://www.uh.edu/policies/mapps/06-safety/060203/>) provides further details about the EHS department.

Faculty whose research involves the use of carcinogenic or toxic compounds, animals, human subjects, biological agents or toxins, recombinant/synthetic nucleic acid molecules, radioactive materials, or radiation producing devices (x-ray and lasers) are legally and ethically responsible to know and comply with all applicable regulations. The Chemical Safety, Institutional Biosafety, and Radiation Safety committees are briefly discussed in the sections that follow. More details on related compliance issues can be found in the Proposal Preparation Guide at <http://www.uh.edu/research/sponsored-projects/proc-pol-guide/proposal-preparation/compliance-issues/>. Note that failure to comply with rules and regulations concerning safety matters related to research may jeopardize funding to the University of Houston.

Chemical Safety Committee

The Chemical Safety Committee (CSC) provides expertise, advice and recommendations concerning chemical safety and best practices to the Vice Chancellor/Vice President for Research. The CSC focuses on promoting a safe chemical laboratory environment by serving as a resource for the development and review of the UH Chemical Hygiene Plan, reviewing chemical safety policies and procedures, addressing chemical safety challenges, and reviewing and approving protocols involving hazardous chemicals. For more information, visit <https://www.uh.edu/ehs/about/institutional-committees/chemical-safety-committee/>.

Institutional Biosafety Committee

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

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

For more information, visit <https://www.uh.edu/ehs/about/institutional-committees/institutional-biosafety-committee/>. Also, see the Biological Safety Manual at <https://www.uh.edu/ehs/commons/manuals/biological-safety-manual/>.

Radiation Safety Committee

The Radiation Safety Committee (RSC) is charged with ensuring that the UH's Radiation Safety Program remains in compliance with the State Radiation Regulations in Title 25 of the Texas Administrative Code, Chapter 289 (https://texas-sos.appianportalsgov.com/rules-and-meetings?chapter=289&interface=VIEW_TAC&part=1&title=25) as well as other applicable regulations. The RSC advises the UH administration including the President, the Senior Vice President for Administration and Finance, the Provost, and the Vice President/Vice Chancellor for Research about radiation hazards at the UH. The RSC operates under the functional authority of the Vice President/Vice Chancellor for Research.

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

Specifically, the RSC works with the Radiation Safety Officer (RSO)/Laser Safety Officer (LSO) to:

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

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

For additional information, visit the website at <https://www.uh.edu/ehs/about/institutional-committees/radiation-safety-committee/>. Also, see the Radiation Safety Manual at <https://www.uh.edu/ehs/commons/manuals/radiation-safety-manual/>.

6.3 Internal Funding

The University of Houston’s Division of Research and Office of the Provost provide various internal awards to support the development and dissemination of research within the university. Resources for internal funding include the following:

- Division of Research: <https://uh.edu/research/funding-opportunities/internal-awards/>
- Office of the Provost: <https://www.uh.edu/provost/faculty/faculty-resources/professional-development/>

6.4 Sponsored Projects

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. Funding opportunity resources can be found at <https://www.uh.edu/research/funding-opportunities/>.

The Office of Contracts and Grants (OCG) and, often, college staff are available to assist faculty who are interested in submitting a research proposal. In addition to DOR's research administrators, many colleges have their own research administrators to assist faculty with identifying funding opportunities, electronically routing and submitting proposal documentation, securing necessary approvals from committees, managing awards, and assisting with award closeout activities. Visit the Research Administrative Services webpage (<https://www.uh.edu/research/about/organization/ocg/research-administrative-services/>) to view points-of-contact at the University level. Refer to MAPP 08.01.01 – Sponsored Research Activities (<https://www.uh.edu/policies/mapps/08-research/080101/>) and SAM 01.G.01 – Sponsored Research Activities (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01g01/>).

6.4.1 Indirect Costs

It is the policy of the university to apply the University’s negotiated indirect (Facilities & Administrative, or F&A) cost rate to all externally-sponsored projects. The University of Houston sets indirect (F&A) cost rates with our federal cognizant agency, Department of Health and Human Services (DHHS), based on the formulas and negotiation processes set forth in the [Uniform Guidance](#) (see <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200?toc=1>). An explanation of indirect costs and the current UH negotiated indirect cost rates can be found at <http://www.uh.edu/research/sponsored-projects/proc-pol-guide/indirect-costs/idc-explained/>.

6.4.2 Post-Award Guidance

The appropriate processing of funds from external sources is an area of high importance. For details on procedures and policy, refer to <https://www.uh.edu/research/sponsored-projects/post-award/>.

6.4.3 Fiscal Responsibility

Research Financial Services within the Office of Contracts and Grants in 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 project. These expenditures must adhere to all federal, state, and university policies and procedures. For further information, visit the Financial Reporting resources at <http://www.uh.edu/research/sponsored-projects/rfs/>.

6.4.4. Purchasing Policy for Sponsored Program Funds

The University of Houston's costing practices for grants and cooperative agreements must comply with the Uniform Administrative Requirements, Cost Principles and Audit Requirements (<https://www.ecfr.gov/current/title-2/part-200>) for federal grant awards and with the Texas Grant Management Standards (<https://comptroller.texas.gov/purchasing/grant-management/>) for State of Texas grant awards. 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 further information on grant-allowable costs, visit <http://www.uh.edu/research/sponsored-projects/proc-pol-guide/costing-practices/>.

6.4.5 Debarment and Suspension

Executive Order 12549 (<https://www.archives.gov/federal-register/codification/executive-order/12549.html>) and FAR 52.209-5 (<https://www.acquisition.gov/far/52.209-5>) called for the creation of a government-wide debarment and suspension system in connection with all transactions with federal agencies. Applicants for federal funds are required to certify that neither they, their principals, nor their researchers:

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

In this case, the applicant is the institution, the principals are members of the Board of Trustees or senior administrative staff, and researchers are the faculty and their professional colleagues who undertake such research activities. The University of Houston treats this requirement as a "negative certification," i.e., that no principals or researchers at the institution are debarred, suspended, or proposed for debarment or

suspension. Any individual who meets any of the conditions bulleted above must immediately notify the Division of Research, Office of Contracts and Grants at 713-743-8383. Information about this policy is available at <https://uh.edu/research/sponsored-projects/proc-pol-guide/debarment-suspension/>.

6.5 Intellectual Property

University research and intellectual endeavors often result in the invention of new technology or the creation of new copyrighted material, many of which may have current or future commercial value. While the production of commercially valuable intellectual property is not necessarily the purpose of university research and educational activities, the Board of Regents desires that both society and the university, under the governance of the Board, use all knowledge to the greatest possible benefit. Accordingly, when appropriate, the university will protect all intellectual property rights in technology and copyrighted material and use diligent efforts to make productive use of such rights for the good of the public, the creator, and the System. Definitions, processes, protections, and distribution of licensing-related income for UH intellectual property are established in the UH System Board of Regents Policy 21.08 (<http://www.uhsystem.edu/board-of-regents/policies/index.php>).

The IP process for inventors, a description of the IP committee, and UH IP policy may be found at <https://uh.edu/uh-energy-innovation/uh-innovation/technology-transfer/>. The Office of Technology Transfer and Innovation (OTTI) is responsible for the evaluation, management, and commercialization of UH intellectual property and works to educate and engage with faculty during the process of protecting IP and identifying industry partners to license their technologies for commercial purposes. The principal goal of OTTI is to foster a greater impact on the community by UH research and scholarship and this is accomplished through the effective transfer of University-wide technology to industry. For more information, see SAM 01.E.01 (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01e01/>). An invention disclosure is the first step for faculty and should be submitted to OTTI at least three months prior to disclosure via publication, grant application, presentation, or other medium. This provides enough time to take steps to protect the IP prior to any public disclosure, which may reduce or eliminate the patentability of the invention. For questions related to protecting, licensing, or commercializing innovative technologies developed through UH research, please reach out to the OTTI team via email at OIPM@central.uh.edu.

6.5.1 Ownership and Infringements of Copyrights

The University's policy regarding ownership of copyrights can be found at Board of Regents Policy 21.08.4 (<http://www.uhsystem.edu/board-of-regents/policies/index.php>). The U.S. Copyright Law (Title 17 U.S. Code; <https://www.copyright.gov/title17/>) 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 (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/07-information-technology/07a04/>). 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>.

6.6 Responding to Allegations of Research Misconduct

The University of Houston is committed to upholding the highest standards of ethical conduct in all practices of proposing, performing, reviewing, or reporting research. Research misconduct includes fabrication, falsification, and plagiarism. Information on the process for responding to allegations of research misconduct in research supported by UH can be found at <https://uh.edu/research/compliance/research-misconduct-overview/>. The full policy is located at <https://www.uh.edu/research/compliance/res-misconduct-policy/res-misconduct-policies-and-principles/>.

6.7 Procurement Integrity Policy

Section 27 of the OFPP Acts Amendment of 1988, entitled "Procurement Integrity," prohibits certain activities by universities and their personnel who have any role in the development and submission of proposals to federal agencies and/or negotiations of any contracts that 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 people are now beginning to question whether they may serve as governmental consultants in the development of long-range planning for research and evaluation of proposals. In general, the answer is "Yes." This regulation only applies to contracts and, although the policy is effective for all contracts, certification is required by the faculty member and by the institution only for contracts and contract modifications over \$100,000. Faculty involved in any activity with the government that might be subject to these regulations (and therefore might preclude a proposal submission under a specific solicitation) should ask for clarification. Most governmental officials now expect such questions. For current regulations and more detailed explanations, visit <https://uh.edu/research/sponsored-projects/proc-pol-guide/proposal-preparation/compliance-issues/#pi>.

6.8 Research Security

The University of Houston Research Security program is administered jointly by the Division of Research and the Office of Compliance & Ethics to ensure compliance with federal and state mandates, including NSPM-33 (<https://uh.edu/research/research-security/nspm-33/>) and Texas Education Code §51.956 (<https://statutes.capitol.texas.gov/Docs/ED/htm/ED.51.htm#51.956>), to protect sensitive research. The Vice Chancellor/Vice President for Research and UH Research Security Officer chairs a Global Risk Task Force tasked with developing a risk-based framework that promotes secure academic research while mitigating the risk of foreign espionage and interference. This ensures that UH maintains eligibility for federal and state funding.

The UH Research Security program addresses the research security risk areas applicable to the UH's research, including but not limited to research integrity, cybersecurity protections, research data maintenance, insider threat awareness and identification, foreign travel security, undue foreign influence, oversight of foreign affiliations and funding, oversight of foreign visitors and collaborators, export control, conflict of interest and conflict of commitment disclosure and management, and research risk assessment.

Research security is a fast-evolving area, and DOR maintains a website (<https://uh.edu/research/research-security/>) that is continuously updated to reflect new policies and regulations. The UH Export Control website should also be consulted for relevant information (<https://www.uh.edu/research/research-security/export-controls/index.php>). In addition, DOR publishes a weekly newsletter (Inside Research) where new requirements are communicated as well.

7 Teaching

7.1 Teaching Expectations

The University of Houston is committed to providing a high-quality educational environment for all undergraduate, graduate, and professional students and to continually improving the processes that serve those students. Within the general context of professional responsibility toward students, the University of Houston emphasizes and encourages faculty cooperation in the following areas:

- A. Faculty are expected to be available for consultation with students, to respect the civil and institutional rights of students, to deal equitably and fairly with them in academic matters, to support students in their own development within the university community, and to model a high standard of professional conduct with respect to both personal and corporate responsibilities and ways of dealing with ethical issues. Faculty are required to engage in regular and substantive interaction with their students, which should include regularly scheduled office hours plus other methods such as engaging with students during class sessions, lectures, recitations, field, or laboratory activities. Additional information on elements of substantive interaction for online courses is available at <https://uh.edu/power-on/rsi/>. Instructors of face-to-face, hybrid, synchronous, and asynchronous classes are expected to hold scheduled office hours as deemed appropriate by their departments and colleges.
- B. Faculty may not shift the mode of offering their class without supervisor approval and corresponding updates to university systems, (i.e. online course schedule).
- C. Faculty are required to respect the privacy of students' education records and information, in compliance with the Family Educational Rights and Privacy Act of 1974 (FERPA). With regard to student records, policies have been developed that are consistent with applicable federal and state laws and regulations. Faculty are expected to be familiar with and observe these policies, which can be found at <https://uhsystem.edu/legal-affairs/general-counsel/protection-of-confidential-information/> and SAM 01.D.06 – Protection of Confidential Information (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01d06/>). Additional information can be found at <https://uh.edu/provost/faculty/faculty-resources/ferpa/index>.
- D. Faculty are expected to understand and comply with provisions made for participation by students in university decision making, both university-wide and within the subordinate units. The schools, colleges, and departments, on their part, may arrange for consultation with students and their participation in administrative committees.

Faculty are required to return all evaluated student material to the students or retain it for a six-month period after the end of the last class of the semester evaluated. Some colleges or departments may require a longer retention timeframe. Faculty should review their college or departmental policies.

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

handbook and on the website of the Office of Equal Opportunity Services. See <http://www.uh.edu/equal-opportunity/>.

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

7.2. 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 their family, then such materials shall be made available at cost to students at the University of Houston. In all other cases, including the case where educational materials are produced by departments or other instructional units, educational materials shall be selected such that they are available to students at a reasonable price consistent with national norms, and selected according to national standards of scholarship. In no case should students be charged for information that normally is available without charge, e.g., a course syllabus, practice exams. See Board of Regents Policy 57.01.02 – Conflicts of Interest at <https://www.uhsystem.edu/board-of-regents/policies/>.
- D. In order to implement paragraph C., and to manage any conflict of interest, an instructor of record at the University of Houston must inform the appropriate dean, or their designated representative or committee, before requiring students to purchase educational materials that have been written, co-written, or edited by them, and from which they shall receive royalties of any kind. The dean or designee will review the required material to ensure that it is consistent with the requirements in paragraph C above.

7.2.1 Accessible Instructional Materials

The University of Houston is committed to ensuring that its Electronic Information Resources (EIR) are accessible to all members of the University community and in accordance with Texas Administrative Code 213 and 206.70, the Americans with Disabilities Act (ADA) and Section 504 of the Rehabilitation Act, and SAM 01.D.13 – Electronic and Information Resources Accessibility Policy (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01d13/>). EIR includes instructional materials such as documents and course content in Learning Management Systems. UH uses tools to monitor and remediate digital content for accessibility.

Visit the Digital Accessibility website at <https://uhsystem.edu/resources/digital-accessibility/> for information about the tools, resources, and FAQs. Faculty members have a responsibility to ensure accessibility of course materials.

7.2.2 Textbook Adoption

Federal and State laws require advance notice of textbooks to be used in the subsequent academic period to help students know the textbook costs for a course and allow them time to find alternative purchasing options. Even if a course will not require a textbook, the University Bookstore needs to be notified in order for the university to be in compliance. For more information on textbook adoptions, see <https://uh.edu/af-auxiliary-services/campus-store/faculty-course-materials-adoptions/>.

7.2.3 Cougar Textbook Access Program

The University of Houston Cougar Textbook Access Program (CTAP) provides undergraduate students access to required course materials on or before the first day of class for a flat, per-term fee, regardless of major or number of credit hours taken. All undergraduate students who register for courses are automatically enrolled in CTAP each semester; however, students may opt out of the program on a semester-by-semester basis. Course materials included in CTAP are any items with International Standard Book Numbers (ISBN) that are legally available for sale or distribution in the United States to the higher education market. This includes e-books, courseware, and clickers. Recommended materials are not included in the CTAP fee. Further information about CTAP and suggested syllabus language can be found at <https://uh.edu/af-auxiliary-services/ctap/>.

7.2.4 Open Education Incentive Program

UH Libraries, supported by the UH Office of the Provost, offers the Open Education Incentive Program (OPEN) to support instructors in the adoption of open educational resources (OER) and open educational practices (OEP). OPEN is designed to support projects across several engagement categories with open and affordable learning materials: textbook affordability, open educational practices, and OER professional development. Further information about OPEN can be found at <https://guides.lib.uh.edu/OER/OPEN>.

7.2.5 Learning Management System

Canvas and Microsoft Teams are the primary Learning Management Systems (LMS) supported by the University of Houston. Whether a course is taught face-to-face, hybrid, or fully online, faculty can use the LMS to organize and provide course materials electronically to students. Course sites should be requested each semester via AccessUH. Instructions on how to request a Canvas/Teams course can be accessed at <https://www.instruction.uh.edu/knowledgebase/how-to-request-a-course/>.

7.3 Syllabus Management and Syllabus Content

Texas law mandates that the University post on its website a syllabus containing certain information for each undergraduate classroom course taught, along with a curriculum vitae of each Instructor of Record. See Texas Education Code § 51.974 (<https://statutes.capitol.texas.gov/Docs/ED/htm/ED.51.htm>) and Information for Instructors of Record for details (<https://uh.edu/policies/other-uh-policy-resources/syllabi-and-cvs/instructors-of-record/>). Additionally consult the Texas Administrative Code that relate to curriculum requirements (<https://tea.texas.gov/about-tea/laws-and-rules/texas-administrative->

code/19-tac-chapter-74).

Colleges or departments may have additional requirements for syllabi. University-wide required syllabus language is detailed on the Office of the Provost website at <https://www.uh.edu/provost/faculty/faculty-resources/current-faculty/required-syllabus-language/>. The University of Houston employs Simple Syllabus, a syllabus management system. Faculty are required to create and utilize their course syllabi through that system. The system pre-populates the required and optional university syllabus language.

7.4 Examinations

The undergraduate and graduate catalogs provide guidance on examinations, including classroom, laboratory, and final exams. For details, see <http://publications.uh.edu/>.

7.5 Posting of Grades/Distribution of Student Work

The University does not require and does not recommend the physical posting of grades. If grades are posted, student confidentiality must still be maintained. Accordingly, grades may not be posted using name, social security or PeopleSoft numbers, or other information that would allow someone other than the student to identify the owner. As a corollary to the posting of grades, confidentiality of student work must also be maintained. For example, a faculty member could confidentially assign random numbers to the students in a particular class, and post grades according to the randomly assigned numbers. When returning student work, faculty must exercise caution to maintain confidentiality as described above. For more information, see the graduate and undergraduate catalogs at <http://publications.uh.edu/>. For additional information, see the section on Protection of Confidential Information.

7.6 Incomplete (I) Grades

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

7.7 Dropping Courses

The last day to drop or withdraw from a course without receiving a grade is the Official Reporting Day (ORD). See the Academic Calendar (<http://www.uh.edu/academic-calendar-undergraduate> or <http://www.uh.edu/academic-calendar-graduate>) for the exact date. Refer to the Dropping and Withdrawing from Course Enrollment student policy at <https://uh.edu/provost/students/student-policies/dropping-and-withdrawing-from-course-enrollment/>. See the Undergraduate and Graduate Catalogs at <http://publications.uh.edu/> for guidance on process.

Limit of 6Ws

Through the last day to drop a course with a grade of "W," enrollment in a course may be terminated in any one of a number of ways. Termination of enrollment does not entitle a 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." Refer to the 6-Ws Limit student policy at <https://uh.edu/provost/students/student-policies/sixw-limit/>. See the Undergraduate and Graduate Catalogs for details <http://publications.uh.edu/>.

Emergency Drops

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. See the Undergraduate and Graduate Catalogs for details at <http://publications.uh.edu/>.

7.8 Medical and Administrative Withdrawal Policy

Undergraduate Students

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

Faculty and students should be mindful that medical and administrative withdrawal procedures require that a student be withdrawn from all courses for the semester and do not guarantee that the student will receive a refund for the semester's tuition and fees. Students referred to UAA may call 713-743-9110 or email uaa@central.uh.edu for assistance. Refer to the Late Withdrawal for Medical/Emergency Reasons policy at <https://uh.edu/provost/students/student-policies/medicalemergency-withdrawal/>. See also the Undergraduate Catalog policy on dropping and withdrawing from courses for medical or emergency reasons (<http://www.uh.edu/catalog-undergraduate>).

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 Catalog* for policy information at <http://www.uh.edu/graduate-catalog/>.

7.9 Religious Holy Days

The University of Houston respects the religious observances of students even though they may conflict with university class meetings, assignments, or examinations. More information on the University's Religious Holy Days policy can be found in the Undergraduate and Graduate Catalogs at (<https://publications.uh.edu/>). Refer to the Religious Holy Days information at <https://uh.edu/provost/students/student-policies/religious-holy-days/> and also SAM 01.D.07 – Anti-Discrimination Policy (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01d07/>).

7.10 Excused Absence Policy

Regular class attendance, participation, and engagement in coursework are important contributors to student success. Absences may be excused for reasons specified in the Undergraduate and Graduate Excused Absence policies (see <https://www.uh.edu/provost/students/student-policies/excused-absence-policy/>). These policies apply to courses in all delivery modes. The Excused Absence Policy also refers to additional policies that address excused absences for additional reasons, including the following:

- Military service
- Religious Holy Days
- Pregnancy and Related Conditions
- Disability

7.11 Disruptive Behavior

The University of Houston is committed to establishing and maintaining a safe and civil environment for the teaching, learning, and administrative process. The UH Student Handbook defines disruption as obstructing or interfering with university functions or any university activity. Moreover, disruption includes any behavior that interferes with students, faculty, or staff and their access to an appropriate educational or work environment. The Student Code of Conduct (see <https://www.uh.edu/dos/behavior-conduct/student-code-of-conduct/>) prohibits activities that are unlawful or disruptive to the normal operations of the university, which include classes and university business activities. See the Dean of Students resource on managing disruptive student behavior at <https://www.uh.edu/dos/behavior-conduct/disruptive-students/>.

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” (<https://www.uh.edu/dos/behavior-conduct/incident-report/>). 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 Police Department (UHPD) should be contacted immediately via the classroom panic button, if one is available; by calling 713-743-3333; via the UH Go App; or calling 911 from a campus phone line. Additionally, a student who is materially disrupting the business activities of the university and who refuses to leave the area when asked to do so should be informed that UHPD will be contacted if they fail to leave the area. If the student still refuses to leave the area, UHPD should be contacted.

The University of Houston is committed to providing a learning environment that promotes the safety and well-being of its students and that is conducive for its students to develop to their fullest potential. To this end, the university has established the UH Care Team 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 CARE team through its website (<http://www.uh.edu/cart>) or through the Dean of Students Office. Refer to MAPP 07.02.03 – Violence on Campus (<https://www.uh.edu/policies/mapps/07-public-safety/070203/>) and MAPP 13.01.02 – UH Care Team (<https://www.uh.edu/policies/mapps/13-student-affairs/130102/>) for more information.

7.12 Freedom of Expression

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, its responsibility to maintain a safe and productive work environment. The university has developed the Freedom of Expression Policy [see MAPP 01.05.01 – Freedom of Expression (<https://www.uh.edu/policies/mapps/01-general-information/010501/>) and SAM 01.D.15 – Freedom of Expression (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01d15/>)], which applies to both students and employees.

The University expects that individuals 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 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. 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/>.

7.13 Academic Honesty

The University of Houston can best function and accomplish its objectives in an atmosphere of high ethical standards. It expects and encourages all students, faculty, and staff to contribute to such an atmosphere in every way possible, and especially by observing all accepted principles of academic honesty. Procedures are designed to handle these cases in fairness to all concerned: the accused student, the faculty, and the University of Houston. The Academic Honesty Policy, as well as Frequently Asked Questions about the policy, can be found at <https://www.uh.edu/provost/policies-resources/honesty/>.

7.14 Accommodating Students with Disabilities

The University of Houston provides a full range of resources in support of outstanding teaching, including the Justin Dart, Jr. Student Accessibility Center (<https://www.uh.edu/accessibility/>). Each course instructor and any individual who teaches a course at any component or teaching center within the University of Houston System has an obligation to be aware of University of Houston System policies and procedures regarding equal educational opportunities for all of its students. An instructor may contact Justin Dart, Jr. Student Accessibility Center's director/manager or their designee with questions or concerns.

The System requires that each instructor informs their classes at the beginning of each semester of the

instructor's willingness to reasonably assist students with disabilities. The instructor will provide the class with the contact information of the Justin Dart, Jr. Student Accessibility Center. It is the responsibility of Department Chairs to ensure that all instructors (i.e., faculty, teaching assistants, lecturers, and others involved with instructional responsibilities) know and understand their obligations with regard to this policy. The System policy is contained in SAM 01.D.09 – Student Academic Accommodations (<https://uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01d09/>). Failure to follow the procedures of this policy may be considered a violation and may result in disciplinary action for the faculty member.

7.15 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 (<https://www.uhsystem.edu/offices/legal-affairs/general-counsel/protection-of-confidential-information/social-security-guidelines.pdf>)
2. Educational Records – FERPA (<https://www.uhsystem.edu/offices/legal-affairs/general-counsel/protection-of-confidential-information/guidelines-for-faculty-and-staff-relating-to-educational-recods-4-17-08.pdf>)
3. Customer Information – Gramm-Leach-Bliley (GLB) Act (<https://www.uhsystem.edu/offices/legal-affairs/general-counsel/protection-of-confidential-information/glb-act-general-counsel-guidelines.pdf>)
4. HIPAA and Medical Privacy Guidelines (<https://www.uhsystem.edu/offices/legal-affairs/general-counsel/protection-of-confidential-information/hipaa-quick-guidelines.pdf>)
5. Security Incident Response Guidelines (<https://www.uhsystem.edu/offices/legal-affairs/general-counsel/protection-of-confidential-information/security-incident-response-guidelines.pdf>)

For more information regarding Protection of Confidential Information, visit the Office of the General Counsel website at <https://www.uhsystem.edu/offices/legal-affairs/general-counsel/protection-of-confidential-information/index.php>. See also SAM 01.D.06 – Protection of Confidential Information (<https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/01-general-administration/01d06/>). Questions regarding Student Records policies should be directed to the Office of the University Registrar (<http://www.uh.edu/about/offices/enrollment-services/registrar/>), 713-743-1010.

7.16 Student Services

The university offers a number of services to assist students. Faculty should familiarize themselves with the full range of departments that provide services (<https://www.uh.edu/dsa/departments/department-list/index>), such as

- A.D. Bruce Religion Center: <https://www.uh.edu/adbruce/>
- Campus Recreation: <https://www.uh.edu/recreation/>
- Center for Fraternity & Sorority Life: <https://www.uh.edu/cfsl/>
- Center for Student Advocacy and Community: <https://www.uh.edu/csac/>
- Center for Student Empowerment: <https://www.uh.edu/cse/>
- Center for Student Involvement: <https://www.uh.edu/csi/>

- Center for Student Media: <https://www.uh.edu/csm/>
- Children’s Learning Centers: <https://www.uh.edu/clc/>
- Commuter Student Services: <https://uh.edu/dos/commuter/>
- Cougar Cupboard: <https://uh.edu/csac/cougar-cupboard/>
- Cougars in Recovery: <https://www.uh.edu/cir/>
- Counseling and Psychological Services (CAPS): <https://www.uh.edu/caps/>
- International Student and Scholar Services Office – <http://www.uh.edu/oisss/>
- Parent and Family Programs: <https://uh.edu/dos/parents/>
- Student Centers: <https://www.uh.edu/studentcenters/>
- Student Health Center: <https://www.uh.edu/healthcenter/>
- Student Housing & Residential Life: <https://www.uh.edu/housing/>
- UH Disability Alliance: <https://www.uh.edu/csd/>
- UH Wellness: <https://www.uh.edu/wellness/>
- University Career Services: <https://uh.edu/ucs/>
- Veteran Services: <https://www.uh.edu/veterans/>
- Writing Center: <https://uh.edu/writing-center/>

8 Campus Resources

8.1 Introduction to Campus Resources for Faculty

The University of Houston has provided important resources for both faculty and staff to maximize the positive experience you have with the University of Houston. Faculty are encouraged to familiarize themselves with the full set of policies, procedures, and support available to maximize success on campus. A full list may be found at <https://www.uh.edu/provost/faculty/faculty-resources/current-faculty/work-life-balance/>.

8.2 Faculty Engagement and Development (FED)

The Office of Faculty Engagement and Development (FED) promotes, supports, and fosters a culture of excellence through the comprehensive development of UH faculty. The FED provides resources to support growth in teaching proficiency and effectiveness, successful faculty career progress, research productivity, leadership skills, and service to the University and broader communities. Professional development is supported at all stages of faculty careers and for all faculty groups, including actively promoting existing opportunities for professional development. The Faculty Café provides free gourmet coffee and teas and shared working and meeting spaces. More information about FED services can be found at <https://www.uh.edu/fed/>.

8.3 Faculty and Departmental Instructional Support (FDIS)

Faculty and Departmental Instructional Support (FDIS) provides professional support services to the University of Houston faculty community with guidance in the use of technology needed in the online environment as well as in the traditional classroom. Instructional designers are available to consult with faculty about the use of Canvas and other instructional technologies in courses, and they regularly offer workshops on various educational technologies. FDIS also oversees the development and management of educational technology projects, guidelines, and standards. For further information, visit <https://uh.edu/fdis/>.

8.4 Public Safety

8.4.1 Campus Carry Law – Guns on Campus

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

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

Open carry of weapons is not allowed on campus. Any gun that is not concealed is unlawful, even in a non-threatening situation. If you see someone carrying a gun, do not confront the person, which may escalate the situation; instead, call the UH Police Department immediately at 713-743-3333. More information can be found at MAPP 07.01.05 – Campus Carry Policy (<https://www.uh.edu/policies/mapps/07-public-safety/070105/>) and on the UH Police Department campus carry website at <https://www.uh.edu/police/policies-training/campus-carry/>.

8.4.2 University of Houston Police Department

The University of Houston Police Department's police officers are licensed by the state of Texas. Each police officer receives mandated, state-certified training in the duties and responsibilities of a Texas peace officer. Under state law, officers are empowered to stop any person on campus for the purpose of obtaining identification; individuals without legitimate business on campus will be required to leave. In addition to traditional police services, the department offers crime prevention workshops and on-campus escorts. For more information, see <https://www.uh.edu/police/community-services/> or call 713-743-3333.

The philosophical focus of the department is the belief that only through police and community teamwork can the university be made safe and secure for everyone. All UH community members have a role in helping to keep the campus safe. 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. UHPD is available 24 hours a day, seven days a week, including holidays. When a crime is reported, dispatch will send an available offer to the crime location. In a non-emergency, UHPD can be called directly at 713-743-3333. For an emergency, call 911. Learn more about UHPD at <http://www.uh.edu/police/>.

8.4.3 Criminal Investigations

If a criminal law is violated on campus, UHPD will normally handle the investigation. During the course of the investigation, UH police officers may need to serve a warrant, arrest, or question a UH student, faculty, or staff member. UH Police Officers will attempt to handle police actions in a safe manner that causes the least disruption to campus activities.

8.4.4 Fire & Life Safety

The UH Fire & Safety Office consists of Fire Marshal and Food Safety divisions. The University Fire Marshal's Office ensures that all buildings and activities meet Fire and Life Safety Codes as adopted (see MAPP 06.03.01 – Fire and Life Safety Code at <https://www.uh.edu/policies/mapps/06-safety/060301/>). The Food Safety division works to prevent foodborne illness by educating food establishments and students, faculty, and staff on safe food handling practices and by ensuring that food items prepared and served are safe, unadulterated, and prepared under sanitary conditions. Fire and Life Safety involves everyone in every area of the university and refers to the prevention of fire, accidents, injury, and property damage. Through inspections, fire safety equipment is checked and maintained; food safety standards are adhered; and safety concerns such as frayed electrical cords, trip hazards, broken or inappropriate equipment, and fire hazards are identified and removed. Through design and plan review, architects and engineers are assisted in ensuring that fire and life safety measures are built into areas under construction.

Through the Office of Emergency Management (<https://www.uh.edu/emergency-management/>), assistance is available to develop specific building emergency response plans. Through training, classes are available for evacuation planning, fire and life safety, fire extinguishers, and food safety. For information on Fire and Life Safety, please visit the website at <https://uh.edu/fls/>.

8.4.5 Violence on Campus

The University seeks to provide a safe environment for learning and work. To foster a safe and supportive working/learning environment, the University provides police services and intervention, and – where appropriate – counseling, training, and education about violence and prevention of violence for employees (including both faculty and staff) and students. UH will not tolerate physical or non-physical acts of violence or behaviors of concern, including threatening another with physical injury, or touching another in a way the individual knew would be considered offensive or provocative. Such acts are a violation of the law and of University policy.

Any faculty member observing, involved in, or who in any other manner becomes aware of a violent incident on campus should immediately notify the University of Houston Police Department (UHPD) by calling 911 or 713-743-3333. Callers should identify themselves to the police dispatcher and stay on the phone with them as long as their safety permits. The dispatcher will request information on the location (building and room number) and nature of the incident, description of any weapons used or displayed, description of all involved parties (both the assailant and victim), and a description of any vehicles involved in the incident. Faculty who become aware of a situation involving a less immediate threat should contact the Provost's Office. For additional information, visit MAPP 07.02.03 - Violence on Campus (<https://www.uh.edu/policies/mapps/07-public-safety/070203/>).

8.4.6 Operation of the University of Houston under Emergency Conditions

An individual who becomes aware of a potential emergency should contact the UH Police Department at 713-743-3333 or call 911. For information during a campus emergency call, visit the UH ALERT Emergency Notification website at www.uh.edu/emergency. Differing procedures will be followed depending on whether an emergency is:

- a campus-wide emergency, such as hurricanes, tornadoes, or flooding;
- a localized campus emergency, such as specific bomb threats, fires, chemical releases, and explosions; or
- a non-emergency operational problem, such as broken or frozen water pipes, building damage, and electrical outages.

The University's procedures are described in MAPP 06.01.01 (<https://www.uh.edu/policies/mapps/06-safety/060101/>) and the UH Emergency Management Plan (<http://www.uh.edu/emergency-management/planning-and-response/emergency-management-plan/>). The Chancellor/President, or their 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 their designee.

In particular, the class cancellations must be authorized by the Provost, or their designee. Employees are expected to continue their usual activities unless explicitly notified otherwise. The latest information will be available at www.uh.edu/emergency. Resources for faculty on how to prepare and respond to an emergency in a classroom are available at <https://www.uh.edu/emergency-management/planning-and-response/faculty-preparedness/index>.

8.4.7 Environmental Health and Safety

The mission of Environmental Health and Safety (EHS) is to ensure compliance with federal, state, and local regulations, as well as institutional policies, and manage hazards that pose risks to people and the environment (see MAPP 06.02.03 – Environmental Health and Safety at <https://www.uh.edu/policies/mapps/06-safety/060203/>). The vision of EHS is to promote and empower the campus community by proactively integrating environmental, health, and safety principles into teaching, research, shop, clinical, and service activities.

EHS is composed of chemical safety, biological safety, radiation safety, laser safety, x-ray safety, occupational safety and environmental compliance, and regulated waste and environmental protection. Contact Environmental Health and Safety at 713-743-5858 or visit <https://www.uh.edu/ehs/>. A list of Environmental Health and Safety Manuals, and EHS policies and procedures may be found at <https://www.uh.edu/ehs/commons/manuals/>.

8.5 University Libraries

University of Houston Libraries supports the vision of the University by enhancing student learning, participating in the development of scholarship and creative output through specialized research consulting, and promoting the discovery of information and knowledge from diverse and relevant resources. The system comprises MD Anderson Library; William R. Jenkins Architecture, Design, and Art Library; Health Sciences Library; Medical Library; and Music Library. Special Collections, located within MD Anderson Library, is home to primary source materials of intellectual, cultural, and societal distinction, both historic and contemporary, which are preserved and made available to the UH community and the public for research and scholarship. Digital Collections make curated selections from these areas available online in digitized formats.

Students and the UH community have access to the many online resources and tools provided by UH Libraries with their CougarNet credentials, including journal articles, streaming media, and ebooks. UH Libraries welcomes thousands of users every month who visit our spaces to create, discover, and learn. A variety of collaborative and individual study areas are available. For users with research and learning inquiries, librarians are available to provide expert support. For more information, visit <https://libraries.uh.edu/>.

8.6 University Information Technology (UIT) and Departmental IT

8.6.1 Services and Resources

The University of Houston improves the educational experience through information technology for classroom, online instruction, and related academic functions. The university's use of information technology also enhances research, administration, and outreach services. University Information Technology (UIT) provides support for many of the technologies used throughout the University of Houston System, including enterprise applications such as myUH (PeopleSoft) and Canvas, computer accounts, and multi-media equipment in general purpose classrooms. Information on more faculty resources can be found at <https://www.uh.edu/infotech/help/quick-start-guides/faculty-guide/>.

UIT has developed the Technology Partners Program (TPP) to coordinate IT initiatives with college and division IT staff. The Technology Partners Program communicates, connects, and collaborates with the

university's technology leaders - internal UIT, departmental technology managers, faculty, staff and administration - to empower them and help them to make informed decisions regarding UH information technology systems. A full description of services can be found at <http://www.uh.edu/infotech/>.

8.6.2 UH Information Technology and Security

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

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

- UHS: <https://www.uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/07-information-technology/index.php>
- UH: <https://www.uh.edu/policies/mapps/10-information-technology/>

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

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

8.6.3 Prohibited Technologies and Covered Applications

The use or installation of Covered Applications or Prohibited Technologies is prohibited on all University-owned devices, including cell phones, tablets, desktop and laptop computers, and other Internet capable devices. Covered Applications are defined as the social media service TikTok, any successor application or service developed or provided by ByteDance Limited or an entity owned by ByteDance Limited, or any other social media application or service specified in Texas Government Code, Section 620.005 (see <https://statutes.capitol.texas.gov/Docs/GV/htm/GV.620.htm>). Prohibited Technologies are listed on the Texas Department of Information Resources Prohibited Technologies List (see <https://dir.texas.gov/information-security/covered-applications-and-prohibited-technologies>) and include specific software, hardware, companies, telecommunications devices, and equipment. Refer to SAM 07.A.12 at <https://uhsystem.edu/resources/compliance-ethics/uhs-policies/sams/07-information-technology/07a12/> for the complete policy.

8.7 Parking and Transportation Services

Parking and Transportation Services, an auxiliary unit within the Division of Administration and Finance, is responsible for parking and bicycle registration, the Cougar Line university shuttle service, visitor information booths, and special events parking. In addition, the department provides a car sharing program, a rideshare program and electric vehicle charging stations. Through the Coogs On Alternative and Sustainable Transportation (COAST) program, Parking and Transportation Services can assist in setting up carpools and vanpools and offer incentives for carpooling and utilizing alternative and sustainable options to get to campus. A full description of services may be found at <https://uh.edu/parking/>. For information on bicycles and scooters on campus, refer to MAPP 09.04.02 (<https://www.uh.edu/policies/mapps/09-facilities/090402/>).

8.8 Facilities/Construction Management

Facilities/Construction Management (F/CM) plan, build, operate, and maintain the facilities and physical infrastructure in support of the University's broader mission. UH FIXIT is the customer conduit to UH Facilities to correct any multitude of corrective maintenance issues. Report facility problems or request service using UH FIXIT (<https://uh.edu/facilities-services/services/fixit/>). There are four ways to access FIXIT: 1) log onto AccessUH and click on the FIX-IT work order system logo; 2) send a text message to fixit@uh.edu; 3) send an email to fixit@uh.edu; or 4) call 713-743-4948 (on campus dial 3-4948). To obtain keys to building offices, visit <https://uh.edu/facilities-business-operations-and-compliance/key-access-services/> for further information.

8.9 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, food trucks, and a full-service catering department. For details and locations, visit UH Dining Services website at <https://dineoncampus.com/uh>.

9 Faculty Handbook Revision

9.1 Guidelines

- A. The *Faculty Handbook* should be reviewed for revision at least every four years.
- B. No later than the beginning of the fall semester every four years the Presiding Officer of the Faculty Council will initiate the review process.
- C. The Faculty Council Presiding Officer shall form a Faculty Handbook Revision Committee to solicit proposed revisions from the Council committees, the Council of Deans, the Provost's Office and members of the Cabinet of the Chancellor/President (particularly, the General Council). 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 Council members.
- D. If the primary review finds that no changes are necessary, notification to the Faculty Council office will satisfy the review requirement.
- E. If the Revision Committee determines that changes may be necessary, it may forward those suggestions to the University Coordinating Commission or other relevant body to consider those and other possible revisions.
- F. The Faculty Council 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 Council, 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, the Provost will so notify the Faculty Council. The General Counsel or Provost shall return the recommendations to the Faculty Council office if the recommendations are declined. The Presiding Officer of the Council will then notify the Revision Committee to determine further action.
- H. Upon approved revision, the Faculty Council office shall notify the offices of the President, General Counsel, Provost, and University Libraries of the finalized copy. Normal access to the *Faculty Handbook* shall be through the UH Faculty Council 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 the mandatory review of the *Faculty Handbook* that takes place periodically. Revisions required by changes in the law can also initiate intermediate updates.
- J. As standard practice, the Faculty Council will annually review the *Faculty Handbook* (on or around May 1) to ensure that links are updated.

9.2 Faculty Handbook Committee, 2025 Edition

The University community is grateful for the contributions of the following individuals in revising the UH Faculty Handbook, 2025 Edition:

- Lola Adepoju
- Gulin Aksu
- Kate Anderson
- Jim Briggs
- Christiana Chang
- Jeronimo Cortina
- Vallabh Das
- Lisa Farmer
- Dietmar Froehlich
- Susie Gronseth
- Kristen Hassett
- Julia Kleinheider
- Yoon Koh
- Rex Koontz
- Holley Love
- Elena Grigorenko
- Ruth Manny
- Jeanette Morales
- Michael Murray
- Kimberly Pilkinton
- Daniel Price
- Ariana Santiago
- Office of the General Counsel
- Office of the President
- Provost's Office
- Division of Administration & Finance
- Division of Research
- Division of Student Affairs
- University Libraries

9.3 Revision Suggestions

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 Council office. Your input will be used to improve the next edition.

Appendix

Policies Index for UH Faculty Handbook

Faculty Handbook Section	Associated Policies						
	Handbook Only	Provost	MAPP	SAM	BOR	State	Notes
<i>1 Introduction</i>							
1.1 Compliance Statements				1.D.05			
1.2 Priority of Law, Regulations, and Rules							*Information only
1.3 College and Department Bylaws		Annual Performance Review Guidelines; Department Chair Roles and Responsibilities					
1.4 Shared Governance							*Information only
1.4.1 Faculty Council						SB37	
1.4.2 University Standing Committees							*Information only
1.4.3 Advisory Committees to the Senior Vice President for Administration and Finance							*Information only
1.5 About the University of Houston							*Information only
1.6 Academic Freedom					21.03		
1.7 Other University Governance Bodies			01.01.01 01.01.02				
<i>2 University Policies and Procedures</i>							
2.1 Administrative Policies			01.01.01 , 01.01.02				
2.2 Academic Affairs Policies		Faculty Policies					
2.3 Amending Policies Regarding Faculty Roles							*Information only
2.4 Office of Equal Opportunity Services							*Heading only
2.4.1 Equal Opportunity and				1.D.05			

Non-Discrimination Statement							
2.4.2 Anti-Discrimination Policy				01.D.07			
2.4.3 Sexual Misconduct Policy				01.D.08			
2.4.4 Title IX Sexual Misconduct Reporting – Duty to Report				01.D.08		TEC 51	
2.4.5 Consensual Relationship Policy				01.D.10			
2.4.6 Sanction of Faculty for Violating Policies Enforced by EOS							*Information only
2.4.7 Accommodation for Faculty				02.E.09			
2.5 Institutional Compliance and Ethics Program				01.C.04		TGC 554.002	
2.6 General Policies Applicable to All Employees, including Faculty							*Heading only
2.6.1 Inter-institutional Agreements		Policy Governing External Agreements that Include Faculty Professional Activities Requiring Institutional Approval (Interim Policy)		06.A.11			
2.6.2 Travel Policy		Provost's Faculty Travel Fund	04.02.01A , 04.02.01B	03.A.03		TGC 660	
2.6.3 Cougar Card			04.05.02				
2.6.4 Tobacco-, Smoke-, and Vape-Free Campus Policy			07.02.02				
2.6.5 Contract Administration Policy				03.A.05	55.01		Contract Administration Guide
2.6.6 Financial Responsibility				05.03.01			
2.6.7 University Financial Policies			See MAPP	See SAM	See BOR		
2.6.8 Official Functions and Discretionary Expenditures			05.02.02	03.A.02			
3 Faculty Employment							
3.1 Faculty		Instructor		06.A.09	21.06,		

Appointments		Credentials; Process for Expedited Review of New Faculty Hires with Tenure			57.10		
3.1.1 Tenure-Track Positions		Promotion and Tenure					
3.1.2 Non-Tenure-Track (NTT) Positions		Non-Tenure Track (NTT) Faculty Policy					
3.1.3 Joint Appointments	X						
3.1.4 Distinguished and Named Professors		Moores Professorship					
3.1.5 Emeritus	X						
3.2 Administrators with Faculty Rank		Process for Expedited Review of New Faculty Hires with Tenure		06.A.09	57.10		
3.3 Employment of Non-citizens				02.A.33			
3.4 Criminal Background Checks			02.03.05	02.A.37			
3.5 Personnel Records			02.05.01	02.A.31			
3.6 Primary Spoken Language of Teaching Personnel						TEC 51.917	
3.7 Faculty Administrators	X						
3.7.1 Administrative Stipends Attached to Specific Offices	X						
3.8 Additional Compensation Policy for Faculty			02.01.06				
3.9 Graduate Work by Faculty	X						
3.10 Benefits				02.A.20, 02.C.01, SB2615			
3.11 Vacation Accrual for Faculty			02.02.03	02.D.01		TGC 661.152, 661.062	
3.11.1 Vacation Accruals for Faculty with Appointments Funded by Contracts and Grants	X						
3.12 Alterations in Conditions of Employment							*Heading only
3.12.1 Pregnant and Parenting Student,			12.05.01	01.D.16			

Employee, and Faculty Accommodations							
3.12.2 Reassignment of Duties			12.05.01				
3.12.3 Voluntary Modification of Employment (VMOE)	X						
3.13 General and Types of Leave Information			02.02.03	02.D.04			
3.13.1 Faculty Development Leave					57.06	TEC 51.101-51.108	
3.13.2 Faculty Development Leave for Administrators						TEC 51.948	
3.14 Grievances		Faculty Grievance Policy					
3.15 Grievances Involving Promotion and Tenure		Faculty Grievance Policy (Tenure and Promotion)					
3.16 Ombudsperson							*Information only
3.17 Separation				06.A.09	21.07		
3.17.1 Justifications for Dismissal					21.07.2		
3.17.2 Dismissal for Cause	X						
3.17.3 Summary Dismissal					21.07.3		
3.17.4 Dismissal Hearing Procedures	X						
3.17.5 Dismissal for Medical Reasons					21.07.2		
3.17.6 Dismissal for Reasons of Financial Exigency or Discontinuance of a Program					21.07.2		
3.17.7 Financial Exigency Policy	X						
3.17.8 Policy for the Termination of Faculty Due to the Discontinuance of a Program, Department, or College for Reasons Other Than Financial Exigency	X						
<i>4 Faculty Expectations and Evaluation</i>							
4.1 Expectations of Faculty and			12.05.01	02.A.20			

Faculty Workload							
4.2 Faculty Work Locations				02.A.20		TGC 658.002, 658.010	
4.3 Standards of Conduct				02.A.29	57.01	TEC 51.9337, TGC 572.051	
4.3.1 Conflicts of Interest				01.G.03, 02.A.29	57.01	TGC 572.051	
4.3.2 Conflicts of Commitment				02.A.29	57.01.2		Conflicts of Interest and Related Disclosures
4.3.3 Outside Activities				02.A.08	57.01.2		
4.3.4 Nepotism Policy				02.A.21	57.01.4		
4.3.5 University Employee Governmental Appearances				09.A.01	81.01		
4.4 Faculty Annual Performance Review		Faculty Annual Performance Review			21.11		
4.5 Student Evaluations of Teaching						TEC 51.974	
4.6 Post-tenure Review		Post-tenure Review			21.11.3	TEC 51.942	
4.7 Faculty Excellence Awards		Faculty Awards					DOR Awards
4.8 President's Circle Awards							
5 Promotion and Tenure							
5.1 Guidelines for Tenure-Earning and Tenured Faculty		Promotion and Tenure					
5.2 Guidelines for Non-Tenure Track (NTT) Faculty		Promotion and Tenure, Non-Tenure Track (NTT) Faculty Policy					
5.3 Tenure		Promotion and Tenure		06.A.09	21.07, 57.10		
5.3.1 Tenure for Non-citizens		Promotion and Tenure					
5.3.2 Appointment with Tenure		Process for Expedited Review of New Faculty Hires with Tenure					
5.4 Non-renewal of Appointment of a Tenure-Track Faculty Member		Promotion and Tenure		06.A.09	21.07.2		
5.5 Probationary Period Extensions		Promotion and Tenure					
6 Research, Scholarship, and Creative Activities							

6.1 Freedom to Publish					21.03		
6.2 Research Oversight Committees							*Heading only
6.2.1 Institutional Review Boards			05.02.04				*Information only
6.2.2 Institutional Animal Care and Use Committee							*Information only
6.2.3 Conflict of Interest Committee (Research)				01.G.03			
6.2.4 Safety Compliance Assistance			06.02.03			25 TAC 289	Proposal Preparation Guide
6.3 Internal Funding		Professional Development					DOR Awards
6.4 Sponsored Projects			08.01.01	01.G.01			Research Administrative Services
6.4.1 Indirect Costs							Uniform Guidance, DOR Indirect Costs (F&A) Policy
6.4.2 Post-Award Guidance							DOR Post-Award policies
6.4.3 Fiscal Responsibility							DOR Financial Reporting policies
6.4.4 Purchasing Policy for Sponsored Program Funds							Uniform Guidance, Texas Grant Management Standards, DOR Costing Practices
6.4.5 Debarment and Suspension							DOR Debarment and Suspension, Executive Order 12549, FAR 52.209-5
6.5 Intellectual Property				01.E.01	21.08		
6.5.1 Ownership and Infringements of Copyrights				07.A.04	21.08.4		USC Title 17
6.6 Responding to Allegations of Research Misconduct							DOR Research Misconduct Policy
6.7 Procurement Integrity Policy							*References 41 USC 423 and links to DOR Procurement Integrity webpage
6.8 Research Security						Texas Education Code 851.956	NSPM-33

7 Teaching							
7.1 Teaching Expectations		RSI, FERPA Resources		01.D.06			Protection of Confidential Information, Equal Opportunity
7.2 Textbook and Educational Materials Policy		Textbook and Educational Materials Policy			57.01.02		
7.2.1 Accessible Instructional Materials				01.D.13		TAC 213, 206.70	
7.2.2 Textbook Adoption							Course Materials Adoptions
7.2.3 Cougar Textbook Access Program							Cougar Textbook Access Program
7.2.4 Open Education Incentive Program							Open Education Incentive Program
7.2.5 Learning Management System							*Information only
7.3 Syllabus Management and Syllabus Content		Information for Instructors-of-Record, Syllabus Language				TEC 51.974	
7.4 Examinations							Undergraduate and Graduate Catalogs
7.5 Posting of Grades/ Distribution of Student Work							Undergraduate and Graduate Catalogs
7.6 Incomplete (I) Grades							Undergraduate and Graduate Catalogs
7.7 Dropping Courses		Dropping and Withdrawing from Course Enrollment, 6-Ws Limit					
7.8 Medical and Administrative Withdrawal Policy		Late Withdrawal for Medical/ Emergency Reasons					Undergraduate and Graduate Catalogs
7.9 Religious Holy Days		Religious Holy Days		01.D.07			Undergraduate and Graduate Catalogs
7.10 Excused Absence Policy		Excused Absence Policy					
7.11 Disruptive Behavior			07.02.03, 13.01.02				Student Code of Conduct, Managing Disruptive Student Behavior, Incident Reporting Form

7.12 Freedom of Expression			01.05.01	01.D.15			
7.13 Academic Honesty		Academic Honesty Policy					
7.14 Accommodating Students with Disabilities				01.D.09			
7.15 Protection of Confidential Information				01.D.06			Protection and Confidential Information guidelines
7.16 Student Services							*Information only
8 Campus Resources							
8.1 Introduction to Campus Resources for Faculty		Work-Life Balance					
8.2 Faculty Engagement and Development (FED)							*Information only
8.3 Faculty and Departmental Instructional Support (FDIS)							*Information only
8.4 Public Safety							*Heading only
8.4.1 Campus Carry Law – Guns on Campus			07.01.05				Campus Carry Policy
8.4.2 University of Houston Police Department							*Information only
8.4.3 Criminal Investigations							*Information only
8.4.4 Fire & Life Safety			06.03.01				
8.4.5 Violence on Campus			07.02.03				
8.4.6 Operation of the University of Houston under Emergency Conditions			06.01.01				Emergency Management Plan
8.4.7 Environmental Health and Safety			06.02.03				Environmental Health and Safety Manuals
8.5 University Libraries							*Information only
8.6 University Information Technology (UIT) and Departmental IT – Services and Resources							*Heading only
8.6.1 Services and Resources							*Information only
8.6.2 Policies and Security			10.03.01 , 10.03.04 , 10.03.06	07.A.03 , 07.A.04 , 07.A.07 , 07.A.08 ,			

				07.A.10, 07.A.11, 07.A.12			
8.6.3 Prohibited Technologies and Covered Applications				07.A.12		TGC 620.005	
8.7 Parking and Transportation Services			09.04.02				
8.8 Facilities/Construction Management							*Information only
8.9 Dining Services							*Information only
9 Faculty Handbook Revision							
9.1 Guidelines	X						
9.2 Faculty Handbook Committee, 2025 Edition							*Information only
9.3 Revision Suggestions							*Information only