

FACULTY HANDBOOK

University of Houston  Clear Lake

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UHCL Faculty Handbook: August, 2022

Faculty Handbook

Compiled and distributed by the University of Houston Clear Lake's Division of Academic Affairs and Faculty Senate

UHCL is part of the University of Houston System.

The establishment of the university was authorized by the 62nd Texas Legislature in 1971. The measure was the result of a 1968 report by the Coordinating Board, Texas College and University System (now the Texas Higher Education Coordinating Board) calling for a second University of Houston campus to provide upper-level and graduate programs. In 1973, the Texas Senate authorized construction of a permanent campus at Clear Lake.

Construction began early in 1974 with the first phase of the Bayou Building, the largest of the university's five principal buildings. September 1974 marked the beginning of regularly scheduled classes on the UHCL campus under the leadership of UHCL's founding chancellor, Alfred R. Neumann. Opening day enrollment totaled 1,069 students and 60 professors composed the charter faculty. Today, the university has approximately 9,300 students and over 600 full-time and adjunct faculty.

Adjacent to the National Aeronautics and Space Administration's Johnson Space Center, UHCL is situated in the heart of Clear Lake's high-technology community. The campus is located between downtown Houston and Galveston Island. Its neighbors to the east are Armand Bayou Nature Center and Bayport Industrial Complex. As one of the leading higher education institutions serving the Texas upper Gulf Coast, UHCL is a vital component of the surrounding region. The university conducts applied and basic research. It engages in community and professional service that support both the economic development and the quality of life of the area. Because a strong university is essential to the success of the area's industries, UHCL is dedicated to developing and strengthening programs that support the region's various commercial, engineering, human services and trade sectors, especially in the computing, medical, petrochemical and space industries.

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

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

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INTRODUCTION and OVERVIEW

The University of Houston-Clear Lake (UHCL) is student centered, community-minded, partnership-oriented university that offers bachelor's, master's and select doctoral degree programs to enhance the educational, economic and cultural environment of the region. The university serves a diverse student population from the state, the nation and abroad, particularly from the Houston-Galveston metropolitan area, by offering programs on and off campus. UHCL offers a variety of programs in human sciences and humanities, education, business and science and engineering. Academic programs are designed to develop the critical thinking, creative, quantitative, leadership and communication skills of students.

The university is committed to community engagement through partnerships with educational institutions, businesses, government agencies and nonprofit organizations.

UHCL Mission Statement

The University of Houston-Clear Lake places its highest priority on serving a diverse body of students in every aspect of their university experience. UHCL's teacher scholars provide high quality, student-centered undergraduate and graduate programs that prepare students to thrive in a competitive workplace and to make meaningful contributions to their communities. UHCL fosters critical thinking and lifelong learning through a strong legacy of vibrant community partnerships complementing its historical focus on teaching, research, creative activity, and service.

Approved by University Council 12-10-09

Approved by UH System Board of Regents 2-16-10

Approved by Texas Higher Education Coordinating Board 4-29-10

Revised and approved by UH System Board of Regents May 16, 2019

UHCL Strategic Plan

<https://www.uhcl.edu/about/strategic-plan/>

Compliance Statement

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

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

Priority of Law, Regulations, Rules, and Policies

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

Hierarchy of Legal Authority

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

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

University Policy Hierarchy

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

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

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

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

UHCL Policies and Procedures (MAPPs and UAAPs): Memorandum of Administrative Policies (MAPs) are developed to ensure compliance and best practices with higher authority or directives. Additionally, MAPs may provide procedures for policies. Related, University Academic Affairs Policies (UAAPs) are those most directly applicable to the teaching and learning mission of the institution and include most policies whose responsibility for review, implementation, dissemination, and oversight are based in mission and functions of Academic Affairs. The following provides an overview of University and Academic Affairs policies in relation to College and Department authority.

SAMs

University MAPPs and UAAPs

College Authority

College Bylaws & Policies

College Guidelines and/or Procedures

Department Authority

Department Bylaws & Policies

Departmental Guidelines and/or Procedures

Additional information and access to UHCL Administrative Policies and Procedures can be accessed at <https://www.uhcl.edu/policies/>

Overview of the Faculty Handbook Organization

This 2022 edition of the Faculty Handbook has been reorganized based on recommendations provided by the Faculty Senate Governance Committee and approved through the UHCL Shared Governance

process. Specifically, the handbook includes links where applicable to policies in order for faculty to have access to the most current information. Additionally, the revisions to this handbook reflect a restructuring of the order of policies to reflect the evolution of faculty members' experiences and like policies are clustered in sections with appropriate headings. Consistent with the UHCL Policy on Academic Policy Development, some policies have been reformatted for consistency (ie: numbering).

UHCL Shared Governance Policies

OVERVIEW OF GOVERNANCE

UHCL is one of four institutions with distinct identities and missions that make up the University of Houston System. The universities are governed by the UHS Board of Regents and Chancellor, Renu Khator. Administrative responsibility for UHCL is vested in its president. UHCL's shared governance process includes the Faculty Senate, University Staff Association and Student Government Association, working with the university's administration through various committees and councils including University Council, which is chaired by the university's president. Other councils/committees include Academic council, University Life Committee, Planning and Budgeting Committee, and Facilities and Support Services Committee.

Information about Shared Governance at UHCL can be accessed at <https://www.uhcl.edu/about/administrative-offices/shared-governance/>

UHCL SHARED GOVERNANCE POLICY

MAP 01.A.06

University of Houston-Clear Lake's Shared Governance System (SGS) is a participatory, advisory system charged with supporting the university's mission. The SGS provides a collaborative avenue through which the constituent groups advise the university's president on matters of policy and assist in the development of procedures. The responsibilities of the SGS also include monitoring and overseeing the implementation of policies and procedures.

The UHCL Shared Governance Policy can be accessed at:

<https://www.uhcl.edu/policies/documents/administration/university-shared-governance.pdf>

CONSTITUTION OF THE FACULTY SENATE

Please go to the UHCL Faculty Senate Website for details <https://www.uhcl.edu/faculty-staff/faculty-senate/>

POLICY ON ACADEMIC POLICY DEVELOPMENT

UAAP 1.6

Policy Approved 2/10/2022

I. Purpose

This policy establishes the process and guidelines for developing, reviewing, approving, revising, tracking, and retiring University of Houston Clear Lake (UHCL) policies, known as UHCL Academic Affairs Policies (UAAPs) and should be applied to all academic policies. All staff, faculty and students are governed by the scope of this policy. This Policy on Academic Policy Development is designed to promote expeditious policy development, approval, and management while allowing for robust debate and discussion of draft policies. This Policy also helps ensure that UHCL Academic Affairs Policies are easily accessible and understandable, widely disseminated, consistent and standardized to the extent reasonable, and approved in an appropriate way.

II. Policy

UHCL Academic Affairs Policies (UAAPs) establish a framework and process for the effective and consistent development, approval, publication, and management of UHCL Academic Affairs Policies, and to provide guidance on the elements of an effective policy. These guidelines also provide a mechanism, along with the MAPP (01.A.01) to implement Board of Regents policies, System Administrative Memoranda (SAMs), and UHCL Shared Governance Policy, as well as meet all legal requirements. This policy is intended to enhance

best practices, shared governance, effective decision-making, and transparency with respect to the manner in which UAAPs are developed and maintained.

III. Definitions

- A. Policy: for the purposes of this document UHCL defines a policy as a statement of institutional philosophy and a general statement of a rule, established to provide direction and assistance to the university community in the conduct of UHCL Academic Affairs Policies.
1. Characteristics: Policies should be governing principles that have broad application or effect across UHCL, and:
 - a. Express the institutional culture, goals, and enhance the university's mission;
 - b. Promote consistency and operational efficiency and mitigates institutional risk;
 - c. Provide guidance for decision making and limiting or setting parameters where applicable;
 - d. Seeks to ensure compliance with applicable Board policy, UH SAM, law or regulation.
- Policies may exist at the College or Department Level, but they may not supersede or conflict with any UAAP.
- B. Procedures: A statement that prescribes specific actions to be taken to conform to established policies, allowing for the orderly implementation of those policies. Procedures should articulate the process for accomplishing the parameters of the policy and might document a defined order, process, or course of action, thereby ensuring consistent and repetitive approaches to policy compliance. Procedures may be incorporated into the body of policy (such as Promotion and Tenure) or may be established independent of a policy.
- C. Responsible Party: The "Responsible Party" is the University office or unit with primary responsibility for administering a particular policy, and thus, is responsible for:
1. Proposing new policies (i.e. within the appropriate subject matter area);
 2. Reviewing an existing policy;
 3. Answering inquiries about a specified policy;
 4. Collaborate in collecting input and feedback from campus constituents on all aspects of proposed or existing policies;
 5. Monitoring the effectiveness and ensuring compliance with a policy.
- The Responsible Party for UAAPs is frequently one of the following: Senior Vice President for Academic Affairs & Provost, Associate Vice President for Academic Affairs, or Faculty Senate President.
- D. Full Review Process: The process set forth in this policy for the review and processing of new UAAPs and Substantive Changes to current UAAPs. A 'Full Review' includes movement through the Shared Governance Process at UHCL.
- E. Housekeeping: A revision to a UAAP that is clerical in nature and does not directly change meaning or intent of the policy. Housekeeping Changes include references to supporting law or other policies, corrected formatting or typos, corrected titles, change of authority for the policy, updated contact or URL information, or very minor text changes for clarity. Housekeeping changes do require notification of representatives of all formal stages of Shared Governance.
- F. Subject Matter Expert (SME): The individual(s) who are most knowledgeable about the subject matter of the proposed policy and/or would be most affected by the proposed policy. SMEs can be identified by the Responsible Party(ies), FS President, or Senior Vice President of Academic Affairs and Provost. The SME may serve as the curator of the UAAP and is the *first point of contact to answer policy questions*.
- G. Substantive Change: A revision to a UAAP that materially alters its meaning or intent.
- H. Shared Governance Policy Process: The process through which policies proceed to document approving recommendations to the President of UHCL which is delineated in the UHCL University Shared Governance Policy (MAPP 01.A.06). Given the majority of academic policies originate in Faculty Senate, this process also aligns with the UHCL Faculty Senate constitution.

- I. Business Day: any traditional working day, Monday through Friday, while Fall or Spring semesters are in session.
- J. Archiving: When a UAAP is revised or retired, the Policy Management Office will maintain the prior or retired version(s) in its electronic archives.

IV. **Policy development, review, revision, approval, tracking, retirement, and archiving:**

A. New Policies:

1. Should a Responsible Party determine a need to propose a new UAAP related to academic affairs, the responsible party or their delegate, shall initiate the process and articulate on the policy UAAP form a justification/rational for the policy.
2. The responsible party will collaborate in collecting input and feedback from applicable campus constituents on all aspects of proposed policies;
3. Vice Presidents, the Policy Management Office, or Subject matter experts, where applicable, should be consulted to ensure an existing or related policy does not exist.
4. A draft UAAP or potential UAAP language is given to the Faculty Senate President, who discusses the new policy with FSEC and forwards the policy development to the appropriate Faculty Senate Committee.
5. The UAAP then proceeds through the Shared Governance Process (MAPP 01.A.06).
6. The Policy Management Office will assign a policy number to a policy document after it has been officially approved and signed by the University President.
7. Should be posted on the UHCL website or another appropriate website and be available, as appropriate, to the University community. The Responsible Party (ies) for all UAAPs will coordinate the announcement, distribution, and publication of all new and revised UAAPs to the UHCL community.

B. Revision of Policies:

1. Existing UAAPs may be revised at the regular review period as specified in the policy, or may be revised upon a determination by the Responsible Party of the need to update the information in the UAAP.
2. The Responsible Party or their delegate shall assume the responsibility of preparing draft revisions as a redlined version of the existing UAAP.
3. The Responsible Party or their delegate shall collaborate in collecting input and feedback from policy campus constituents when policy impact multiple divisions of the university;
4. Recommended revisions shall proceed through the Shared Governance process.

C. Legal Review:

1. The Senior Vice President for Academic Affairs & Provost or their designee will consult with the UHS Office of General Council (OGC) regarding legal sufficiency for all new UAAPs and updates to existing UAAPs before approval at Academic Council.
2. UAAPs will be forwarded to University Council once OGC has endorsed the policy.
3. If substantive changes are required as a result of OGC review, the policy will be reviewed through the shared governance process in its newly edited form.
4. This policy does not apply to existing UAAPs undergoing Housekeeping Changes.

- D. **Policy Approval and Adoption:** In keeping with the Shared Governance Process (MAP 01.A.06). All academic affairs policies will be presented for review, approval, and/or endorsement by Faculty Senate committees, Faculty Senate, Academic Council, and University Council.
1. If votes of endorsement receive majority support at each shared governance phase, following endorsement at University Council, the policy will be presented to the UHCL President for final approval;
 2. Consistent with UHCL Shared Governance Policy (MAPP 01.A.06), the President has the final decision on all policies.
 1. The President will notify the Responsible Party and the Policy Management office within 10 business days of the University Council Vote on the recommended policy of the decision to support, signified by signature on the policy, or oppose the decision of the Shared Governance Bodies.
 2. If opposed, a justification will be communicated in writing to the Responsible Party within 10 business days of the University Council Vote and announced at the next regularly scheduled University Council meeting.
 3. Once a UAAP is approved and signed by the president, it is considered official UHCL policy.
- E. **Policy Tracking:** It is the responsibility of the Policy Management Office in collaboration with the Responsible Party to monitor the progress of policies through the shared governance process.
- F. **Retirement of a Policy:** A UAAP is to be retired when it is no longer needed or is more effectively combined with or superseded by a SAM or another UAAP.
1. A UAAP is considered retired upon documented approval by the Responsible Party, the UHCL General Counsel, The Faculty Senate President, The Senior Vice President for Academic Affairs & Provost, and the President.
 2. Upon retirement, the Policy Management Office will remove the UAAP from the UHCL website and archive it.

V. **Expedited review:**

- A. **Legal Changes:** Certain information within an official UAAP may become obsolete or require revision due to changes in legislation or other higher authority. Additionally, legal authority may require that the UHC System or UHCL President implement or approve certain policies to comply with federal or state law.
1. When such information must be changed due to federal or state law, or UH system policy, the document will not be subject to the Full Shared Governance Review Process. Instead, the Policy Management Office, and the policy's Responsible Party shall be notified, and the document will be revised in consultation with the UH System Office of General Counsel and submitted directly to the Responsible Party(ies), the Faculty Senate President, the appropriate Vice President, and the President for approval.
 2. An update will be announced to all members of University Council in the next regularly scheduled meeting or via e-mail.
 3. The revised policy shall then be made available to the UHCL Community.

- B. **Minor Changes:** If a subject matter expert or policy owner desires to modify an existing UAAP in order to reflect a minor improvement or update to a process or procedure, or to better align the UAAP with other MAPPs, SAMs, or Board rules, such changes will be processed by the Policy Management Office on an expedited basis, but only to the extent such proposed changes are reviewed by the Responsible Party, and Subject Matter Expert and are determined that they do not affect the purpose and meaning of the UAAP, and that no amount of feedback will negate the need for the change.
 - 1. Revisions processed by the Policy Management Office on this basis shall be submitted to the Responsible Party(ies), The Faculty Senate President, The Senior Vice President for Academic Affairs & Provost and the President for approval.
 - 2. An update will be announced to all members of University Council in the next regularly scheduled meeting or via e-mail.
 - 3. The revised policy shall then be made available to the UHCL Community.

- C. **Housekeeping Changes:** The Director of Policy Management, in consultation with the UAAP's Subject Matter Expert and Responsible Party, has the authority to make non-substantive, housekeeping changes to a UAAP without the necessity of going through the Full Shared Governance Review Process.
 - 1. The Policy Management Office and the Responsible Party for the policy shall be notified any housekeeping revisions, and the document will be submitted directly to the Responsible Party(ies), the UHCL General Counsel (when applicable), The Faculty Senate President, The Senior Vice President for Academic Affairs & Provost the appropriate Vice-President, and the President for approval.
 - 2. An update will be announced to all members of University Council in the next regularly scheduled meeting or via e-mail.
 - 3. The revised policy shall then be made available to the UHCL Community.

- D. **Interim Issuances:** When a new UAAP or revisions to an existing UAAP are needed in a timeframe that does not allow for the Full Shared Governance Review Process due to a regulatory, accreditation, or other extenuating circumstance, it can be proposed as an interim policy, which shall be implemented on an interim basis with notice to the Policy Management Office, appropriate stakeholders, and the University Council representatives.
 - 1. Revisions on this basis shall be submitted to the Responsible Party(ies), the UHCL General Counsel, The Faculty Senate President, The Senior Vice President for Academic Affairs and Provost, and the President for approval.
 - 2. An update will be announced to all members of University Council in the next regularly scheduled meeting or via e-mail.
 - 3. The revised policy shall then be made available to the UHCL Community.
 - 4. The Interim policy must undergo a full Shared Governance Review within six months' time, or the interim status will need to be reviewed by all shared governance committees and formally extended.

VI. **Responsibilities:**

- A. **Periodic Review:** The Responsible Party, by and through the Shared Governance Process, is responsible for maintaining and updating UAAPs in his or her area to ensure that they reflect current policy and practices and that they conform to applicable laws and regulations.
 - 1. To ensure policies remain current, all UAAPs should undergo a periodic review at least once every five years, or more often if required by law or circumstances.

2. If such a periodic review does not result in changes, the Policy owner and Responsible Party will confirm to the Policy Office that the UAAP has undergone review and is current, and the UAAP documentation will be updated to reflect the most recent review date, as well as the next required review date.
- B. **Communication and Policy Dissemination:** The Policy Management Office in collaboration with the Policy's Responsible Party will coordinate the distribution of new policies and policy revisions by communicating with the UHCL community including the Faculty Senate President, The Senior Vice President of Academic Affairs & Provost, and all applicable stakeholders. All new and revised UAAPs shall be published electronically on the UHCL website, communicated to the University Council, and distributed as otherwise required by law. In addition, the Responsible Party, or their designees, will determine if other effective methods for policy dissemination should be undertaken and if training should be conducted.
 - C. **Enforcement and Monitoring:** The Faculty Senate President and the Senior Vice President of Academic Affairs & Provost are responsible for promoting and enforcing the compliance of all UAAPs within Academic Affairs.
 - D. **Responsibility for the Maintenance of the Policy on Policies.** The UHCL Office of Policy Management in collaboration with the Provost is responsible for the maintenance of this policy.
 - ↳ The Policy Management Office will be responsible for maintenance of official policy documents. These will be maintained both digitally and in hard copy in the UHCL Library. The digital and hard copy files will contain an index, cross-referencing all policies by
 1. Number
 2. Alpha by title
 3. Alpha by subject
 4. Date approved
 5. Sunset review date
 - E. **Compliance:** Faculty, staff and students are responsible for knowing, understanding and complying with UAAPs that relate to their position, employment or enrollment at UHCL.
 1. Responsible Parties are responsible for following the policy development and implementation process established by this policy, communicating their policies effectively, reviewing and updating their policies regularly, and monitoring their policies for compliance and effectiveness.

VII. **Formatting:**

The following describes a standardized presentation of policies:

- A. Each policy will have an Academic Affairs Approvals page that documents the Shared Governance Approval process with dates and signatures of administrative authority for each representing body (ie: Faculty Senate, Academic Council)
- B. Each policy is to be formatted on the UAAP template approved by academic affairs in collaboration with the Policy Management Office.
- C. Each Policy will include a Policy Tracking Form that will note substantive edits and will be approved by academic affairs in collaboration with the Policy Management Office.

- D. Each Policy will also include a redline copy of the original as an attachment to the UAAP Policy Packet.
- E. Access to all required forms should be centrally available on the UHCL Provost Office and Faculty Senate website.

VIII. REVIEW AND RESPONSIBILITY

Responsible Parties: Academic Affairs and Faculty Senate
Review: Every 5 years

Policies Associated with Faculty Appointments

APPOINTMENT AND RETIREMENT

Policy 3.0

Approved **University Council May 10, 2012**

(3.1) Tenure Track Academic Ranks

(3.2) Purpose

The purpose of this policy is to define those faculty ranks at UHCL which are tenured or which lead to a tenure decision. All appointments to tenure track rank shall be effective only upon approval by the Board of Regents.

(3.3) Definitions

(3.4) Proof of completion of a terminal degree

This shall be either an official transcript showing the conferral of the degree or a proof of completion from the university which confers the degree.

(3.5) Probationary Appointment

This shall be an appointment in a tenure track position prior to the award of tenure. The maximum term for the probationary appointment must be stated explicitly in the letter of appointment. However, in exceptional circumstances, the term of any probationary period can be extended at the request of the appointee with the approval of the provost.

(3.6) Policy

(3.7) Ranks

The following ranks are considered part of the tenure track at UHCL: instructor, assistant professor, associate professor, and professor.

(3.8) Mandatory Review

For probationary appointments, the final and mandatory review for tenure shall take place in the year prior to the final probationary year (e.g., year six where there is a seven-year probationary period.)

(3.9) Any faculty member appointed for a probationary period should understand that the number of years designated is a probationary period and not a minimum commitment of employment.

A decision to terminate the services of a faculty member on a probationary appointment may be made at any time during the probationary period subject to appropriate date of notification and does not require or imply charges or demonstrated professional unfitness.

(3.10) Limitations & Conditions by Rank

(3.11) Instructor

Instructor is a tenure track rank. Upon completion of a terminal degree the instructor will be promoted to assistant professor. Such completion is required for the promotion. Instructors cannot be tenured at that rank. The maximum probationary appointment at the rank of instructor will be three years starting with the first fall semester of the appointment. The proof of completion of a terminal degree must be

presented by December of the last academic year of the probationary appointment. Time spent as an instructor at UHCL will count toward the probationary period as an assistant professor.

(3.12) Assistant Professor

Appointment as an assistant professor will be a tenure track appointment. Completion of a terminal degree is required for the appointment.

(3.13) Probationary Period

Appointment will normally contain a probationary period not to exceed seven years. This period may be reduced by any time spent at UHCL as an Instructor. As many as three years of prior experience as an assistant professor or above at another institution may be credited toward the probationary period. Prior years credited toward the probationary period must be approved by the Provost and must be specified in the letter of appointment.

(3.14) Normally, a decision to tenure will coincide with a promotion to associate professor. However, in exceptional circumstances the president may request that tenure be granted to an assistant professor.

(3.15) Associate Professor

Appointment as an associate professor will be a tenure track appointment. Completion of a terminal degree is required for the appointment.

Appointment will normally contain a probationary period of three years but may be made with tenure or for a lesser period.

(3.16) Professor

Appointment as a professor will be a tenure track appointment. Completion of a terminal degree is required for the appointment. Appointment will normally be tenured but may contain a probationary period of up to three years. A candidate for an appointment or promotion to professor should have a record of accomplishment and evidence of a continuing commitment to professional growth and development of the highest quality.

(3.17) Extension of Probationary Period

(3.18) Extension of Probationary Period for Childbirth and Adoption.

An untenured tenure-track faculty member who becomes a parent due to the birth or adoption of a child and who is responsible for the primary care of that child will be given upon request a one-year extension of the probationary period, with or without a leave of absence. The faculty member is responsible for notifying his/her dean in writing of a request for extension within six months of the birth or adoption of the child. The dean will acknowledge the request for the extension of the probationary period and will send the request to the provost. The provost will then notify the faculty member in writing of the new mandatory tenure review date. The extension of the probationary period may occur at most twice (for a total of two years extension), with each extension occasioned by the birth or adoption of a child, and by timely notice as defined above. For purposes of this policy, a child is defined as a newborn or, in the case of adoption, a child under the age of six. Also, a tenure-track faculty member who is responsible for the primary care of the child is one who is responsible for significant and continuous care of his or her newborn or adopted child. If both parents are tenure-track faculty members, only one may qualify as the primary caregiver. If a faculty member takes a leave of absence, this policy shall be applied in conjunction with relevant leave statutes and policies.

(3.19) Policy on Extension of the Probationary Period for Emergencies.

An untenured tenure-track faculty member has the right to request an extension of the probationary period because of serious illness, family emergencies or other serious personal circumstances. Circumstances that may justify an extension include, but are not limited to, serious illness and injury, or other serious disruptions or unexpected reasons beyond the faculty member's control. Requests must be made in writing and submitted within six months after the emergency circumstances or personal circumstances occur. The request must be forwarded through the dean to the Provost. The Provost will inform the dean of his or her decision and the year of tenure review. These decisions should be made as soon as practicable.

(3.20) A request for extension of the probationary period normally will not be considered after March 1 of the academic year prior to the tenure review period.

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

FACULTY APPOINTMENTS, UH SYSTEM GENERAL GUIDELINES

SAM 06.A.09

University Of Houston System Administrative Memorandum

SECTION: Academic Affairs NUMBER: 06.A.09 AREA: General

SUBJECT: Academic Personnel Policies June 16, 1994; Revised February 14, 2012 , March 27, 2018

<http://www.uh.edu/af/universityservices/policies/sam/6AcadmicAffairs/6A9.pdf>

https://uhsystem.edu/compliance-ethics/_docs/sam/06/6a9.pdf

(1.0) Purpose

(1.1) This administrative memorandum specifies policies and procedures governing various academic personnel actions utilized by the University of Houston System and its component universities. It delineates policies and procedures common to all component universities. Board of Regents policies 21.06 and 21.07 and campus specific policies and procedures should also be consulted in connection with this topic.

(2) Definitions and Conditions

(2.1) Appointment - 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 at the respective universities following procedures developed at the university and which have been approved by the Chancellor. Appointment letters must be approved by Academic Affairs (AA) and Human Resources (HR), and must follow standard forms as adopted by AA and HR at respective universities. Prior approval of the Chief Academic Officer (Provost) is required before any faculty appointment with tenure can be made. In addition, no person shall be appointed to the position of Dean, or equivalent, or Vice President, or equivalent, without prior consultation with the Chancellor and in accordance with Board of Regents Policy 57.10. No administrator may be given faculty status or tenure without a review and positive recommendation from the academic unit involved.

(2.2) Separation-Separation is defined as the process by which an individual terminates employment with the university. Three distinct modes of separation are recognized.

(a) Resignation is voluntary termination of employment by an employee.

(b) Non-reappointment refers to a situation in which a non-tenured faculty member is not offered the next successive employment appointment at the end of a stated employment period. Non- reappointment notification must conform to the following

schedule of dates: (1) Not later than March 1 of the first academic year of service if the appointment expires at the end of that year; or if a one-year appointment terminates during an academic year, at least three months in advance of termination. (2) Not later than December 15 of the second academic year of service if the appointment expires at the end of that academic year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination. (3) Not later than May 31 of the academic year preceding the academic year in which the appointment is to expire, when the individual is in the third or later year of appointment.

(2.3) Dismissal is severance from employment due to either adequate cause, financial exigency, medical reasons, or the discontinuance of academic programs. Dismissal shall not be used to restrain faculty members in their exercise of academic freedom. When dismissal involves a tenured faculty member, consultation with the Chancellor and University Legal Counsel shall be made prior to any official action. Subject to final approval by the Board of Regents, the Chancellor has the authority to dismiss faculty upon recommendation of the President after full and appropriate due process. (See Board of Regents Policy 21.07.)

(2.4) Tenure is defined as the right to continuous employment. It is awarded by the Chancellor based upon the authority delegated by the Board of Regents and upon the recommendation of the President of the respective university after the appropriate university review processes have been followed. Tenure is awarded on the basis of teaching, research, and service excellence to date, consistent with the mission of the university, and a high degree of confidence in the continuation and enhancement of this performance for the benefit of the university.

Recommendations for tenure shall be made once each year to be effective at the beginning of the succeeding academic year. Tenure can only be revoked due to dismissal for cause, financial exigency, the elimination of programs, medical reasons, retirement or resignation. Tenured faculty members shall be afforded every opportunity to be placed in other related faculty assignments when the existence of a financial exigency or the elimination of a program may necessitate the dismissal of tenured faculty members. Tenure shall be specific to the University of Houston System component recommending tenure and never applies to administrative appointments.

(2.5) Promotion - Promotion is defined as advancement to a higher rank or title based on merit or evidence of excellence in the performance of job responsibilities. Promotions are subject to the approval of the Chancellor and Board of Regents upon recommendation of the President. Recommendations for promotion shall be made once each year to be effective at the beginning of the succeeding academic year.

(2.6) Tenure-track positions - The following ranks are considered part of the tenure track: instructor, assistant professor, associate professor, and professor.

(2.7) Non-tenure track positions - A university may choose to utilize other faculty titles to convey certain meanings specific to that university. These include lecturer and prefixes attached to titles in Section 2.5 such as visiting and adjunct. The use of these terms implies non-tenure track status.

(2.8) Probationary period - The probationary period is defined as the time a faculty member spends under appointment in a tenure-track position prior to being awarded tenure. It shall not exceed seven years, and the conditions of the period shall be specified in the appointment letter.

Up to three years of prior full-time collegiate level teaching at the rank of assistant professor or above may be credited to the probationary period.

(2.9) Faculty leaves of absence - Faculty leaves of absence without pay are granted by the President. Normally, the period of time of a leave of absence shall not be counted as time in the tenure track or promotion sequence except in those circumstances approved by the President or designee.

(3.0) Time in Rank

(3.1) The rank of instructor at a University of Houston System university shall normally be in the tenure track for that university with time spent as an instructor counted in the probationary period. No instructor, however, may be awarded tenure. Under special circumstances, the President may waive the inclusion of an instructor in the tenure track by written mutual agreement.

(3.2) Assistant professors shall serve a probationary period not to exceed seven years, at least four of which must be at the specific University of Houston System University. Promotion to associate professor is concurrent with the award of tenure unless otherwise stipulated by the President due to special circumstances.

(3.3) Associate professors may be appointed with tenure, or alternatively shall serve a probationary period not to exceed four years before tenure is awarded. In cases of exceptional merit, the probationary period specified in the appointment letter may be shortened by the President at the request of the Dean or appropriate Division Head.

(3.4) Promotion from associate to full professor requires strong evidence of teaching, scholarship, and service as appropriate to the mission of the university. No specified time in rank is required for promotion from associate to full professor.

(3.5) Full professors are usually appointed with tenure but may be required to serve a probationary period which shall be stated in the appointment letter.

(3.6) Full-time University of Houston System employees, such as professional and administrative staff, who have at least 50% teaching assignments as part of their full-time positions shall accrue time toward tenure and promotion at the same rate as full-time faculty. Full-time employees not compensated who do not have at least 50% teaching assignments shall not accrue time toward tenure and promotion.

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

(3.8) Other Considerations

(3.9) Each university shall determine its specific criteria and procedures for tenure and promotion through appropriate shared governance procedures. Criteria shall reflect the mission, tradition, and complexity of the university.

(3.10) The following provisions must be a part of tenure and promotion procedures: The process by which faculty members are appointed or evaluated for tenure and promotion at each university must include peer review in at least one level of evaluation. It must also include the recommendation of the appropriate Dean or equivalent mid-level administrator. Each university must establish a promotion and tenure grievance mechanism and procedure.

(3.11) Tenure and promotion criteria and procedures of each university are subject to final approval of the Chancellor.

(3.12) No faculty member shall be appointed or promoted at any university without a complete review consistent with the criteria and procedures of that university.

(3.13) Nothing in these policies and procedures shall in any way impair the fundamental policy of equal employment opportunity of the University of Houston System.

(4) Review and Responsibilities

Responsible Party: Senior Vice Chancellor for Academic Affairs Review: Even numbered years before

UHCL GUIDELINES FOR ACADEMIC APPOINTMENTS

Policy 3.3

From Faculty Handbook Approved June 1988

I. UHCL Appointments and Promotion

II At the University of Houston-Clear Lake, the president, senior vice president and provost, and deans of the colleges hold responsibility for decisions concerning appointments, promotions, tenure, and termination of services. Faculty committees at the College level shall advise the deans on all faculty appointments, promotions and tenure actions. Appointments and promotions at any institution in the University of Houston System are awarded by the Board of Regents upon the recommendations of the chancellor and the president.

III No non-tenured member of the faculty should expect continuing appointment beyond the term of his or her current appointment. Any commitment to employ a non-tenured member of the faculty beyond the term of his or her current appointment will depend upon an evaluation of the evidence of a continuing commitment to professional growth and development of the highest quality.

IV Associate professors may be appointed with tenure, subject to approval by the president. However, the president shall confer with a faculty committee and the dean in the appropriate discipline before making such an appointment. Alternatively, the candidate may be required to serve a probationary period not to exceed four years before tenure is awarded. The appointment letter shall state the maximum number of years to be served before the associate professor may be considered for tenure. The probationary period specified in the appointment letter may be shortened by the president at the request of the dean or appropriate authority. (UHCL & UH system)

V A candidate for an appointment or promotion to professor should have a record of accomplishment and evidence of a continuing commitment to professional growth and development of the highest quality.

VI No time in rank is specified for promotion from associate to professor. Professors may be appointed with tenure, subject to approval by the president. However, the president shall confer with a faculty committee and the dean in the appropriate discipline before making such an appointment. Alternatively, the candidate may be required to serve a probationary period which shall be explicitly stated in the appointment letter. (UHCL & UH system).

NON-TENURE TRACK ACADEMIC APPOINTMENTS

Policy 3.4

Approved 1998

Revised and approved 2010

Revised and Approved by University Council April 12, 2018

Revised and Approved by University Council March 14, 2019

I Purpose

The purpose of this policy is to define those faculty ranks at UHCL which are not tenured and which do not lead to a tenure decision. All appointments to non-tenure track rank shall be effective upon the approval of the president.

II Definitions

A Proof of completion of a terminal degree: this shall be either an official transcript showing the conferral of the degree or a letter of completion from the university which conferred the degree.

B. Courtesy Appointment: Courtesy Appointments are non-tenure track faculty unpaid appointments and may be used for the position of Visiting Faculty, Clinical Faculty, and Visiting Scholar. If any position is to be considered a courtesy appointment, it will be designated as such in the offer letter.

III Policy

A. The following ranks are considered part of the non-tenure track at UHCL: lecturer, senior lecturer, post-doctoral fellow, visiting scholar, visiting lecturer, visiting assistant professor, visiting associate professor, visiting professor, clinical assistant professor, clinical associate professor, clinical professor, research assistant professor, research associate professor, and research professor.

B. All of these ranks have appointments for up to 1 year unless described below. Unless specified in the letter of appointment the university at its discretion may or may not continue the appointment for subsequent years. Such reappointments will normally involve the needs of the university and non-reappointment has no negative implications concerning the quality of work by the individual.

IV Instructional Level Requirements

A. Undergraduate

To teach undergraduate courses a person must have at least a master's degree with 18 graduate hours in the teaching discipline.

B. Graduate

To teach graduate courses a person must have either 1) a terminal degree or 2) special expertise or credentials and be approved by the Provost.

V Limitations & Conditions by Rank

A. Lecturer

1. Appointment as a Lecturer will be a non-tenure track appointment. Completion of a terminal degree is not required for the appointment.
2. This rank has two distinct normal uses. First, it can be used for a full-time teaching position. Second, it can be used to appoint a full-time employee in a non-instructional role who will also teach with full responsibility for one or more courses.
3. Lecturer appointments may be for a term of one semester or for a full academic year. Section 3.2 addresses appointment terms and can also be consulted in connection with this topic.

4. Role

a. Full-Time Lecturer

The normal teaching load for a full-time lecturer is twelve (12) semester credit hours, but deans may make exceptions for good and sufficient reasons. Other responsibilities for lecturers will be assigned by the dean as appropriate. Performance evaluation will reflect instructional performance and performance in any other assigned duties according to a weighting determined by the dean. College by-laws should specify if lecturers are accorded voting rights for college level issues.

b.. Part-Time Lecturer

A full-time employee may also be designated a Lecturer if that employee has part-time instructional duties as a normal part of his or her workload.

For this instructional portion of the lecturer's appointment, the criteria for regular faculty appointments will apply. Performance evaluation will reflect instructional performance and performance in any other assigned duties according to a weighting determined by the dean.

B. Senior Lecturer

1. Appointment as senior lecturer is intended to recognize individuals with a continuing and significant contribution to teaching at UHCL. It has the same basic conditions as that of lecturer. In addition, the appointee must have taught full time at UHCL for 6 years or more.
2. College by-laws must define process and criteria for promotion to senior lecturer. The process must include a review by a committee that consists of tenured and tenure track faculty as well as senior lecturers from within the academic program(s) the lecturer serves. Promotions must be approved by the appropriate Dean.

3. Senior lecturers shall have a term of appointment for three years. Dismissal of a senior lecturer during the term of appointment will be in accordance with Policy 5.6 'Dismissal of Faculty Members'. Section 3.2 addresses appointment terms and can also be consulted in connection with this topic.
4. Those individuals already employed with the Senior Lecturer title by UHCL at the time of passage of the policy, may retain the title. All new appointments as senior lecturer are subject to the processes outlined above.

C. Visiting Faculty

1. Appointment as a visiting lecturer, visiting assistant professor, visiting associate professor, or visiting professor will be a non-tenure track appointment. If any visiting faculty position is to be considered a courtesy appointment, it will be designated as such in the offer letter.
2. All visiting faculty positions are temporary and established for a specified period e.g., usually for a semester or an academic year. Any appointments over one year are subject to annual review. Section 3.2 addresses appointment terms and can also be consulted in connection with this topic.
3. Completion of a terminal degree is required for the appointment above the rank of visiting lecturer with appropriate experience & background for each of the ranks and may carry whatever rank is appropriate (e.g., visiting associate professor).
4. The workload associated with all visiting faculty positions is articulated in the offer letter.

D. Auxiliary Faculty

1. Clinical Faculty

- a. Appointment as a clinical assistant professor, clinical associate professor, or clinical professor will be a non-tenure track appointment. If any clinical faculty position is to be considered a courtesy appointment, it will be designated as such in the offer letter.
- b. Clinical professorships are intended for a continuing relationship over an extended period of time. They do not represent a commitment for a particular teaching load and, in fact, may include periods during which the individual is not teaching or performing any remunerated work. Pay, if any, will depend on the responsibilities at the time. Section 3.2 addresses appointment terms and can also be consulted in connection with this topic.
- c. Appointments are subject to annual review.
- d. College by-laws must define process and criteria for promotion. The process must include a review by a committee of tenured and/or tenure track faculty from within the academic program(s) the faculty serves. Promotions must be approved by the appropriate Dean.

- e. Completion of a terminal degree is required for the appointment with appropriate experience & background for each of those ranks and may carry whatever rank is appropriate (e.g., clinical associate professor).
2. Research Faculty
- a. Appointment as research assistant professor, research associate professor, or research professor will be a non-tenure track appointment. If any research faculty position is to be considered a courtesy appointment, it will be designated as such in the offer letter.
 - b. Research professorships are intended for a continuing relationship over an extended period of time, usually involving research at or in collaboration with UHCL. They do not represent a commitment for a particular teaching load and, in fact, may include periods during which the individual is not performing any remunerated work. Pay, if any, will typically depend on availability of external funding and will not be paid from the state teaching budget. Section 3.2 addresses appointment terms and can also be consulted in connection with this topic.
 - c. Appointments are subject to annual review.
 - d. Research faculty may submit proposals for funding as principal investigators. Research faculty may teach courses and are subject to the same stipulations as adjunct faculty and may be paid from the same budget as adjunct faculty for teaching duties. Research faculty may serve on thesis and dissertation committees at the option of individual college by-laws.
 - e. Completion of a terminal degree is required for the appointment with appropriate experience and background for each of those ranks and may carry whatever rank is appropriate (e.g., research associate professor).

E. Post-Doctoral Fellow

1. The designation of post-doctoral fellow can be conferred upon an individual whose duties normally consist of conducting research with a faculty member or within an academic program at UHCL.
2. A post-doctoral fellow is normally appointed for one year or more after completion of a doctoral degree and is typically hired by the university in case external funding is available. Any appointments over one year are subject to annual review. Section 3.2 addresses appointment terms and can also be consulted in connection with this topic.

F. Visiting Scholar

The designation of visiting scholar can be conferred upon an individual who conducts scholarly activity with a faculty member or with an academic program at UHCL. Typically, the visiting scholar comes to the University with external funding and with another university or research center affiliation. If any visiting scholar position is to be considered a courtesy appointment, it will be designated as such in the offer letter

Approved by University Council March 12, 1998

Revised and approved 2010

Approved by University Council April 18, 2018

I Purpose

The University of Houston-Clear Lake provides several categories of student employment which provide assistance to faculty and students. To be considered for student employment, the student must be currently enrolled and be making satisfactory progress toward a degree.

II Categories of Employment Categories of employment include:

A. Graduate Teaching Fellows

Graduate Teaching Fellows are graduate students who have primary responsibility for instruction and work under the direct supervision of a faculty member. Graduate teaching fellows must submit the same documentation for employment as adjunct faculty and may be listed as instructor of record. Graduate Teaching Fellows will not be assigned as instructors of record in an undergraduate course (i.e. having full responsibility for a course) until they have earned a master's degree or its equivalent or have completed 18 graduate semester credit hours in the teaching field. Students so employed qualify for out-of-state tuition waivers for each semester they are employed at 0.50 FTE. Funding for this category of student employment should come from faculty salary budgets.

B. Graduate Teaching Assistants

Graduate teaching assistants are graduate students who spend at least 50 percent of the time of their appointment in direct instructional contact with students. Graduate teaching assistants work under the direct supervision of a faculty member. Students employed as graduate teaching assistants qualify for out-of-state tuition waivers for each semester they are employed at 0.50 FTE. Funding for this category of student employment may come from faculty salary budgets.

C. Core Course Teaching Assistant

Core Course Teaching Assistants are graduate or undergraduate students who assist Core Curriculum faculty in providing instruction for large lecture classes of 60 or more students. These students perform under a faculty member's direct supervision those duties related to the course to be defined by the instructor. The purpose of a Core Course Teaching Assistant opportunity is to provide faculty with supplemental support and allow students to gain introductory insight into the process of preparing class content for a college-level course. Funding for his category of student employment may come from faculty salary budgets.

D. Instructional Assistants

Students in this category may be graduate or undergraduate. These students perform under a faculty member's direct supervision those duties directly related to the development of course materials, grading and related duties of the course. Instructional assistants are not eligible for out- of-state tuition waivers. Funding for this category of student employment should come from departmental operating expenses budgets. Faculty salary budgets must not be used to support this category of student assistant.

E. Research Assistants

Students in this category are graduate or undergraduate students who are engaged in research activities under the direction and supervision of a principal investigator. Students in this

employment category are eligible for out-of-state tuition waivers for each semester they are employed at 0.50 FTE. Research assistant students are paid from research budgets.

III Qualifications for Appointment and Selection Process

A. To be eligible for an assistantship, graduate students must be degree seeking and be enrolled in a minimum of three hours coursework or three hours in a degree completion option each long semester during the period of appointment. Undergraduate students must also be degree seeking. They must be enrolled in a minimum of nine hours of coursework each long semester during the period of appointment. Students employed during the summer must be enrolled for a minimum of three hours during the summer session.

International applicants for the Graduate Teaching Fellow or Graduate Teaching Assistant positions who hold F-1 or J-1 visas and/or are non-native speakers of English must demonstrate competent communications skills in English for successful instruction in the classroom to the appropriate college personnel.

B. Selection of student assistants must follow a process of application and screening by appropriate college personnel. Additional related procedures may be established by the college.

ADJUNCT FACULTY APPOINTMENTS

Policy 3.6

Revised and Approved 2010

I Appointment

A. Part-time instructional staff at UHCL are normally employed as adjunct faculty. All appointments will be made by the Dean or designee of the college responsible for the course offering but will be subject to approval by the Senior Vice President and Provost. To be appointed to teach undergraduate courses, adjuncts must have at least a master's degree and 18 graduate hours in the teaching discipline. To be appointed to teach graduate courses, adjuncts must be terminally degreed or possess special expertise or credentials sufficient to justify the exception to SACS standards. Appointment as an adjunct is made on a per course basis for one semester only, although a shorter appointment is possible under unusual circumstances. Adjuncts may teach a maximum of two courses per semester. Adjunct appointments do not carry tenure track status. Salary is negotiable with each new and renewed appointment.

B. Adjuncts are responsible for timely completion of all initial employment paperwork by the beginning date of employment and for the completion of any paperwork, course grade rosters, and return of keys and any University-related materials no later than one week after the close of the semester.

C. Additional information on duties and responsibilities of adjunct faculty can be found in the Adjunct Faculty Handbook.

II Evaluation

Each college is responsible for the supervision and evaluation of each adjunct faculty member. The evaluation process includes student assessment of the course and instructor. If necessary a conference between the adjunct faculty member and the Dean or the Dean's designee is held. Adjunct faculty may be terminated during the semester for cause.

Approved at University Council March 8, 2012

(1.0) Purpose

(2.0) The purpose of this document is to define search and selection procedures for Academic Administration, Faculty Members and Academic Professional Staff.

(3.0) Definition

(3.1) Convening Authority

The individual responsible for recommending the appointment for a particular position to the UHCL administration. For example, for faculty appointments the academic Dean or for units like the library or UCT the Executive Director. For positions that report to the Provost (i.e. deans, associate vice presidents, etc.) the Provost.

(3.2) Academic Administration - position within the academic division that is at the level of director or above. Includes, but not limited to, provost, associate vice president, dean, associate dean, executive director and director.

(3.3) Academic Professional - position within academic division that is an exempt professional position as defined by the Professional and Administrative Pay Plan and is below the level of director. Includes, but not limited to, associate director, assistant director, coordinator, and librarians.

(4.0) Policy

(4.1) Positions Covered by Policy:

(4.1.1) Faculty:

(4.1.1.1) All faculty positions, tenured or tenure track, non-tenured, half-time or more, for which there is a continuing appointment.

(4.1.2) Academic Administration:

(4.1.2.1) All administrative positions in academic areas which are half-time or more for an appointment period of at least one year.

(4.1.3) Administrative/Professional:

(4.1.3.1) All professional positions in academic areas which are half-time or more for an appointment period of at least one year.

(4.2) Positions Not Covered by Policy

(4.2.1) Faculty Positions

(4.2.1.1) All adjunct faculty positions which are less than half-time and/or only appointed on a semester basis

(4.2.1.2) Visiting faculty positions which are nonrecurring positions filled by the individual on a one year or less appointment.

(4.2.2) Academic Administrative positions:

(4.2.2.1) Appointment of an interim person to fill a vacancy until search and selection of a new appointment is made.

(4.2.3) Academic Professional positions:

(4.2.3.1) Appointment of an interim person to fill a vacancy until search and selection of a new appointment is made.

(4.3) Committee Selection Procedures for Faculty Positions and Academic Administrative/Professional Staff positions

(4.3.1) Faculty Positions Search Committees

(4.3.1.1) All faculty searches must be directed by a search committee, to be composed of members named by the Convening Authority and approved by the Provost.

(4.3.1.2) The search committee should consist of a minimum of five members, unless a written exception is granted by the Provost. The Chair will be designated by the Convening Authority.

(4.3.1.3) Professors, associate professors, assistant professors and other faculty who hold half- time positions or greater in the college are eligible for membership on the search committee. When appropriate, the Convening Authority may name one or two committee members (a) from outside the college, (b) from the professional community, or (c) students. Minorities and women should be part of the search committee membership, unless no minorities or women are available in the academic area of the search or a related area to the search.

(4.3.2) Academic Administration Position Committees

(4.3.2.1) All searches must be directed by a search committee to be composed of members named by the Convening Authority.

(4.3.2.2) The search committee should consist of a minimum of five members, unless exception is granted by the Provost. The Chair will be designated by the Convening Authority.

(4.3.2.3) Full-time faculty, and administrative/ professional staff are eligible for membership on the committee. In addition, the Convening Authority may also select as appropriate, students and members of the professional community. Minority groups and women should be part of the search committee membership, unless no women and minorities are available in the area or a related area.

(4.3.2.4) Positions which include a tenured or tenure track academic appointment should be approved at the time of the on campus interview by the appropriate faculty body responsible for the academic area in which tenure is desired.

(4.3.3) Academic Professional Position Committees

(4.3.3.1) All searches must be directed by a search committee to be composed of members named by the Convening Authority.

(4.3.3.2) The search committee should consist of a minimum of five members, unless exception is granted by the Provost. The Chair will be designated by the Convening Authority.

(4.3.3.3) Full-time faculty, and administrative/ professional staff are eligible for membership on the committee. In addition, the Convening Authority may also select as appropriate, support staff, students and members of the professional community. Minority groups and women should be part of the search committee membership, unless no women and minorities are available in the area or a related area.

(4.3.3.4) Positions which include a tenured or tenure track academic appointment should be approved at the time of the on campus interview by the appropriate faculty body responsible for the academic area in which tenure is desired

(4.4) Developing a Search Plan

(4.4.1) Operation of the Search Committee

(4.4.1.1) The scope of responsibility and the procedures and timetables for each search committee shall be either specified by Convening Authority or delegated to the search committee chair.

(4.4.1.2) In developing a recruitment plan, the chair of the search committee and the Convening Authority, should contact the Office of Human Resources for the most recent utilization analysis of women/minority employment. If the college has an under-representation of minorities and women, there must be specific recruitment activities to solicit applicants in these groups.

(4.4.1.3) The search committee cannot act beyond developing a Search Plan until the Exempt Search Plan and the job description have been approved by the Convening Authority, the Provost and the Affirmative Action Office.

(4.4.1.4) Before formal initiation of the search or announcement of the position, an Exempt Search Plan must be completed. In developing the recruitment plan, the following concerns should be taken into account.

(4.4.1.4.1) The chair and the search committee must identify and use sufficient contact sources and communication outlets to solicit a diverse pool of qualified applicants. A search may be disqualified solely on the basis of a very limited advertising list at the time of plan approval.

(4.4.1.4.2) All searches must be national in scope and should make every effort to target minority, ethnic and women candidates. (Search committees who do not desire to conduct a national search will require special authorization from the Provost or President.)

(4.4.1.4.3) Recruitment efforts should consider use of professional associations, professional contacts at universities with quality academic programs in the area of the search, and professional contacts in the area of interest.

(4.4.2) Plan Contents

(4.4.2.1) Job Description

The job description should be succinct, yet give sufficient detail of specific job responsibilities and key qualification for selection of candidates. Mandatory credentials, expertise and background experiences should be clearly stated.

(4.4.2.2) Advertising Plan

(4.4.2.2.1) All job announcements must include an equal opportunity statement which has been approved by the Office of Human Resources (Refer to Faculty Search Manual: Office of HR).

(4.4.2.2.2) If a deadline date is stated, applications received after the deadline must not be considered. It is preferable to provide a date when formal screening will begin or include this wording: "Applications or nominations will be accepted until the position is filled." A minimum of one month should be given for advertising before consideration of the candidate pool.

(4.4.2.2.3) All job announcements which will be placed as advertisements in professional journals or national newspapers as well as sample letters to be sent to professional organizations, registries and universities must be given prior approval from the Office of Human Resources. There should also be focused advertising to minority institutions or groups. Funding for advertisement of positions is the responsibility of the respective unit and should be identified in the search plan. No advertising should be finalized without approval from the Provost's Office regarding costs in relation to funding.

(4.4.2.3) Interview Plan

The search committee is responsible for designating appropriate procedures to equitably review and screen all candidates. These procedures should allow for impartial consideration, given the stated criteria of the job description, and should involve a majority of the committee in all decisions. When assessing the candidates, there should be opinions included from colleagues at the nominee's institution and other qualified individuals as reference sources. If possible the use of in person interviews at professional meetings is encouraged to increase the range of applicants. The files should have documentation of either oral or written comments by references. Interviews of the candidate by phone should be documented either in a written statement of the substance of the conversation or written interview notes, with such documentation placed in the candidate's folder.

(4.4.2.4) Budget

The plan should include a clear and appropriate budget for both advertising and interviewing that will allow a successful completion and that has been agreed to by the Convening Authority.

(4.4.3) Approval of Search and Recruitment Plan

Development of a Plan (See Resource Available: Office of Human Resources: Faculty Search Manual)

(4.4.3.1) Submission of the Exempt Search Plan.

In submitting this form the chair of the search committee should attach copies of the position description. All signatures should be affixed to the approval form prior to submission.

(4.4.3.2) Job Description and Advertisements

The Convening Authority is responsible for the authorization of the search, the selection of the search committee, development of the job description and the recruitment plan. When the Exempt Search Plan, job descriptions, advertisements, and position announcements are approved by the Office of Human Resources, the search process can begin with the submission of job announcements to respective journals and organizations.

(4.5) Implementing the Search Plan.

(4.5.1) The chair will be responsible for establishing and processing applicant files. The chair will also be responsible for maintaining the confidentiality of the files and to maintain records of the key activities and pools of applicants throughout the process of the search.

(4.5.2) The search committee should identify and recommend to the Convening Authority, based on the pool of applicants, as many as three qualified finalists for appointment consideration. A larger pool of finalists may be considered for positions of Dean, Senior Vice President for Academic Affairs and

Provost and related positions. Where only one qualified candidate is identified, the Convening Authority has the prerogative of reopening the recruitment and search process.

(4.5.3) All search committee recommendations should be made by majority vote of committee. A quorum shall consist of 60 percent of the committee membership.

(4.5.4) The recommendations for finalists for the position should be submitted to the Convening Authority. The Convening Authority may require additional documentation, such as the search committee's assessment of each finalist or any related input from faculty/staff groupings. This assessment by the committee should present all key evidence, major support and any dissenting opinions.

(4.5.5) The search committee is responsible for conducting the initial search, screening of applicants and presenting recommended candidates for further consideration to the Convening Authority.

(4.6) Completing the Hiring process.

(4.6.1) Once the Convening Authority has received the appropriate documentation, he/she will normally conduct an on-campus invitational interview. This final stage of the process should be conducted by the Convening Authority and the chair of the search committee. During this on-campus interview, there should be appropriate opportunities for the university unit to interact with the candidate. Additional documentation of feedback from university personnel/students

regarding the candidate should be collected and submitted to the Convening Authority. Each Convening Authority is responsible for developing procedures for on-campus interviews at this stage.

(4.6.2) In considering the search committee's recommendations, the Convening Authority may, at his/her discretion, request the committee- to (a) study further any individual candidate or (b) to make recommendations of other candidates from the pool either before or after the campus interviews. If the committee determines that there are no other qualified candidates worthy of recommendation, the Convening Authority may decide to declare the search failed. In instances where the Convening Authority judges the committee's recommendations to be unacceptable, and the committee determines that there are no other qualified candidates in the pool, Convening Authority may decide to declare the search failed.

(4.6.3) If an acceptable candidate is identified, the Convening Authority shall be responsible for conducting informal discussions with the candidate regarding his/her availability, salary requirements and other related employment matters. On the basis of these informal discussions, the Convening Authority may contact the Provost (or President in select situations) to discuss the candidate and his or her requirement for employment. During this discussion, a determination could be made regarding the ability to recommend this candidate for employment. If the discussions support an unofficial recommendation of the candidate, the Convening Authority will be charged with the responsibility to re-contact the candidate and discuss mutual agreement of the recommendation for employment.

(4.6.5) With the agreement of the candidate and the Convening Authority regarding conditions of employment, the Convening Authority will submit the recommendation and candidate file to the Provost (or the President in select situations). The Provost will submit the recommendation and a possible offer letter with the candidate file to the President. Upon approval of the President, an appointment letter will be sent to the candidate noting that the appointment is subject to review approval by the Board of Regents for the University of Houston System. Upon acceptance of the position, the chair of the search committee should send the remaining active candidates a dignified letter regarding the completion of the search. The chair will be responsible for bringing closure to the search by completing all necessary documentation as required by the Office of Human Resources (refer to Faculty Search Manual).

GRADUATE FACULTY DEFINITION

Policy 3.7

Revised and approved by EPCC on 3/1/04 and the Academic Council on 3/11/04

Revised and approved by Faculty Senate on 4/7/04

Approved by University Council, April 15, 2004

All faculty teaching graduate courses must demonstrate competence in teaching and meet the SACS minimum requirement for a terminal degree in their teaching discipline or related field. Faculty designated as graduate faculty must also be engaged in an ongoing program of research, scholarly, creative or professional activity as defined by each college's bylaws. Only members designated as graduate faculty are permitted to chair master's projects or theses or teach capstone courses.

UNIVERSITY OF HOUSTON SYSTEM VOLUNTARY MODIFICATION OF FACULTY EMPLOYMENT PROGRAM

Policy 3.9

Approved June 1988

(1) Purpose

Each university of the University of Houston System may develop policies and procedures governing voluntary modification of employment for faculty. Such policies must be consistent with those specified herein, and must be approved by the Chancellor of the University of Houston System. Applications by individual faculty to participate in this program are reviewed by the university academic administration and must be approved by the appropriate president.

(2) System Policy

(2.1) Eligibility:

Full-time faculty who have reached 55 and have been enrolled in the Texas Teacher Retirement System for at least 10 years, or in an approved Optional Retirement Program for at least 10 years, may be considered for participation.

(2.2) Qualifications:

The following qualifications of employment must apply for those faculty approved for participation in the program.

(2.2.1) Status as a full-time faculty member is relinquished, including tenure rights upon signature of the agreement in 2.2.2.

(2.2.2) Teaching and other work assignments may be negotiated on an individual basis, but may not exceed that corresponding to 50 percent full-time employment for the academic year. Such negotiated agreement must be in writing and signed by the faculty member and the President.

(2.2.3) Compensation to the faculty member during the period of voluntary modification of employment shall reflect the negotiated full-time equivalent status.

(2.2.4) The eligibility of a participant to receive retirement benefits will 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.

(2.3) Benefits:

The participant shall 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. In addition, the individual shall have the option to participate in health and life insurance programs to the extent provided by the state or by the university for retirees. Information concerning such insurance benefits is available from the campus benefits office. Participation in the Teacher Retirement or Optional Retirement programs is not available to the participant.

(2.4) Duration:

A negotiated agreement for voluntary modification of employment shall be for one year at a time and may be renewed annually by mutual agreement not to exceed five years.

Previous Approval Date: December 12, 2013

Revision and Approval Date: April 9, 2020

I Purpose

A. In accordance with the UH System guidelines, the following policies and procedures have been established for determining emeritus/emerita eligibility, privileges, and responsibilities at UHCL.

B. The purpose of this policy is to maintain a continuing relationship between UHCL and retired faculty members who have provided long-term support to the university.

II Definitions

A. The titles "emeritus" and "emerita" will be conferred only upon those retired, tenured professors and tenured associate professors, who have made a significant contribution to UHCL. By significant contribution, it is meant that the faculty member must have a sustained and distinguished record at UHCL of teaching, scholarship, or service.

III Privileges

A. Emeritus/Emerita faculty members will have library, computing, e-mail, and parking privileges. In addition, emeriti faculty should receive invitations to and announcements of appropriate campus and university functions and should be listed in appropriate catalogs and directories. Each college will determine any additional courtesies or privileges accorded emeriti faculty, including office space for collective use.

IV Procedure

A. The Emeritus/Emerita Nominating Committee (The Committee) shall be made up of one tenured professor from each college elected/appointed by the Council of Professors. Members shall serve for three years with staggered appointments so that there will be at least two members each year with experience on The Committee. The Committee will elect a chair and determine his/her length of service.

B. Each fall semester, each Dean will inform the chair of The Committee of any faculty member who has announced retirement as soon as possible after the announcement. In addition, each dean will request nominations from the colleagues of the candidate's college.

C. The nomination will include at least the following information and supporting documentation:

1. A letter of nomination from one or more faculty members enumerating the significant contributions that they believe the nominee has made to UHCL.
2. A recent copy of the nominee's curriculum vitae.
3. Additional supporting materials that would aid The Committee in their deliberations.

D. Nominations shall go directly to the chair of The Committee along with a copy of the nominee's vita. The deadline for nominations will be February 15. Nominations not meeting this deadline will be carried over to the next round of evaluations. No nominations for emeritus/emerita status shall be made to anyone except the chair of The Committee.

E. The Committee will meet to review nominations the first week of March and will send their recommendations to the appropriate dean, provost and president by March 10 for review and final recommendation to the Board of Regents.

F. All emeritus/emerita appointments are subject to approval by the Board of Regents upon recommendation by the president. Approval by the Regents will normally occur in the spring of the year.

G. The Council of Professors, in concert with the President's office, will maintain a committee to review emeriti benefits and development.

TEACHING RELIEF POLICY

Policy 13.0

Approved by University Council May 10, 2018

I Description:

The University of Houston-Clear Lake (UHCL) is committed to providing an inclusive and family-friendly workplace environment for faculty, and recognizes that there are many different types of family and domestic responsibilities. For this reason, the university offers a policy of temporary workload adjustments for acute family care situations. Policy at the university level ensures that there is consistency in how such situations are handled across departments and units in the university, and that all faculty members have equal access to assistance with acute family care situations.

Acute family care situations include pregnancy, childbirth, adoption, and serious or prolonged illness of the faculty member or of a child, parent, partner or close relative which can include but is not limited to those related via guardianship, step-family, biological family, and in-law family members.

Dissemination of this information should be widespread, so that all eligible faculty and administrators are aware of them.

II Eligibility:

Eligible individuals are full-time faculty and administrators with teaching responsibilities of UHCL who have acute family care responsibilities.

III Terms:

This program allows faculty members and administrators with teaching responsibilities two options.

A.. One long semester of teaching relief may be provided, in which other meaningful duties at program, department, college and/or university level are to be assigned instead of teaching duties. Teaching relief cannot be used for circumstances where use of sick leave is appropriate. The application must be approved by the Department Chair, Dean, and Senior Vice-president/Provost, based on the criteria set out below. Under the terms of this program, the teaching load of the faculty member in the semester before and after the leave will not be affected by the terms of the leave.

B. One long semester of teaching relief may be provided, in which the salary of the faculty member is reduced for each course release.

IV Procedure:

Application – Faculty member must submit an application to their department chair and dean at earliest possible date, preferably 6 months in advance of the semester in which teaching relief is requested. In emergency situations, the application can be expedited.

Application for option 1 must include:

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

Application for option 2 must include:

1. A request establishing the eligibility for the teaching relief and clarifying the relief requested;
2. The faculty members teaching load in the semester before and after the leave must be specified.
3. The department chair and dean must identify how the affected teaching load will be managed.

In the case that two faculty members experience the same acute family case, each may take the teaching relief, either in consecutive semesters or simultaneously, as best fits their needs and those of their department/s.

V Approval – Approval is contingent on the following findings:

- A. The proposed project must be found to be beneficial at the department, the program, the college, or the university level.
- B. The instructional responsibilities of the department or program can be met through the allocation of existing resources. The dean and provost in consultation with the department chair and faculty member may make exceptions to this.
- C. The department or program will continue to be in compliance with applicable statutes and policies, including:

1. Texas Government Code § 658.002 – Working Hours Required for Salaried Employees
2. Texas Government Code § 658.007 – Working Hours for Employees of Institutions of Higher Education
3. Texas Education Code § 51.402 – Report of Institutional and Academic Duties
4. Texas Higher Education Coordinating Board Faculty Workload Guidelines
5. Board of Regents Policy § 21.05 – Faculty Workload
6. UHCL Academic Workload Policy, established in the UHCL Faculty Handbook

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

Notification of approval is sent to: The faculty member requesting the leave, the Dean, the Department Chair, and Human Resources.

VI Consultation with Human Resources – Human Resources will be contacted by the faculty, after receipt of approval by the Provost, in order to coordinate the logistical details of the Relief. Human

Resources will advise on the timing of the relief as well as any requirements regarding how time will be coded (sick leave, FMLA, PeopleSoft designations, etc.).

VII Clarifications and Exclusions

Tenure clock extension: The guidelines outlined in this document do not address tenure clock issues for faculty. A tenure-track faculty member may request separately a tenure clock extension owing to the issues raised by an acute family care situation.

Sick leave: These guidelines are independent of sick leave or vacation, which must be taken in situations where no duties are conducted. Thus, a faculty member will generally use either Teaching Relief or sick leave during the same reporting period. In situations such as childbirth, or recovery from an illness, a faculty member or administrator with teaching responsibilities might take sick leave for a period of time and then subsequently begin Teaching Relief. However, if a faculty member or administrator with teaching responsibilities is able to work at home for some portion of a day, a combination of Teaching Relief and sick leave or vacation leave (if applicable), may be appropriate.

Annual reviews: Faculty members or administrators with teaching responsibilities who have been assigned modified duties should not be penalized in annual reviews. These faculty members and administrators should be evaluated on the performance of the duty assigned rather than on the duty for which it was substituted (i.e., if a special service task is substituted for teaching then the faculty member is evaluated on the special task rather than teaching, with “normal” service rated separately according to departmental criteria).

Policies Associated with Faculty Responsibilities and Expectations

WORKLOAD POLICY FOR FACULTY

UAAP 6.1

Approved 4/14/2022

I. PURPOSE and SCOPE

The University has adopted this policy to establish guidelines for calculating the statutory workload of faculty members employed at the University of Houston Clear-Lake in order to comply with Sections 51.402 of the Texas Education Code. This policy is a mechanism for ensuring that each faculty member meets the statutory teaching load minimum.

Pursuant to Texas Education Code, Section 51.402 and University of Houston System (UHS) Board of Regents Policy 21.05, this MAAP establishes the general workload policy for all full-time faculty and is designed to ensure a fair and equitable distribution of faculty workload in meeting the mission and operational needs of academic units.

This policy also establishes the annual reporting requirements to the UHS Board of Regents concerning faculty workload. As part of those requirements, each Department Chair and College Dean must certify that the duties of each faculty member constitute an appropriate workload responsibility in accordance with the following requirements.

II. DEFINITIONS

Academic Unit: A College, Department or Program

Faculty: Tenure-track, tenured and non-tenure-track full time employees

Program lead: Program Director / Coordinator / Chair (or as defined by the College.)

RSA – Research, Scholarly, or Artistic Activities as defined in the UHCL Promotion and Tenure policy.

Teaching unit: A teaching unit is equivalent to 3-credit-hour course of standard enrollment. Standard enrollment is established in this policy in sections 5.B and 5.D.

Teaching credit: Various teaching activities accrue as teaching credits in fractional increments as outlined in this policy.

III. POLICY STATEMENT

The University requires that every faculty member fulfil a certain minimum teaching load in accordance with the following standards.

In order to achieve maximum effectiveness, the standard workload for tenure-track faculty members at UHCL is three classes per long semester plus RSA and service, as defined by the College. The percentages of each type of work expected for faculty in standard workload assignment are as follows:

A. Assistant professors: 60% teaching, 30% RSA, 10% service

B. Tenured faculty: 60% teaching, 20% RSA, 20% service

- C. Non-tenure-track (NTT) full-time faculty: for a standard Lecturer position, 80% teaching, 20% service. Department chairs/Deans may choose to recognize RSA conducted by NTT faculty as part of their workload.
- D. These percentages can be modified in accordance with this policy (See section 8.0 Modified Workload).
- E. Faculty may accumulate teaching credit over time and may aggregate fractional teaching credits in various categories. Faculty should request to use teaching credit for a course release as soon as a full teaching unit is reached. The course release is to be used when the Dean/Department Chair is able to schedule it, within two years following the request. If a release is not possible during those two years, a Dean may offer remuneration as an alternative, using the normal course overload rate (see 5.H). Alternatively, earned teaching credit may be paid immediately as a proportion of the normal rate for a course overload, with the agreement of the faculty and the Dean.

This workload policy sets forth guidelines that permit each Department Chair, under the supervision of a Dean, to best engage faculty to foster student and faculty success and advance the unit's mission. The goal of this policy is to implement a mechanism that equitably divides and accounts for the total professional effort of faculty, including instruction, research and clinical practice, and service to the university and professional community.

IV. RESPONSIBILITIES

Workload assignment must be primarily the responsibility of an academic unit and its Department Chair and the College Dean. These administrators are responsible for individual compliance with institutional rules and accreditation compliance, and for distributing the duties of their academic unit so that each faculty member contributes maximally to the department/program according to their capabilities and experience. Department Chairs and Deans are responsible for assuring that individual faculty members' workloads comply with the university workload policy. Chairs and Deans are also responsible for ensuring that faculty obligations are distributed fairly among faculty members within the academic unit. While this policy provides explicit guidance regarding teaching responsibilities, each College must develop and publish expectations for faculty RSA and service workload.

The Provost shall be responsible for implementing the institution's workload policy, reviewing College and department assignment patterns, tracking faculty workload, and monitoring compliance with institutional regulations.

V. GUIDING PRINCIPLES FOR TEACHING WORKLOAD ALIGNMENT

The normal teaching workload for a tenure-track or tenured faculty member is three courses (teaching units) per long semester plus associated teaching activities, as defined by the College. The normal teaching workload for NTT faculty is four courses (teaching units) per long semester plus associated teaching activities, as defined by the College.

A. Laboratory Courses

For laboratory, nursing clinical, physical activity, and studio art courses in which contact hours with direct faculty involvement are greater than credit hours, additional workload credit shall be rewarded by multiplying the number of weekly contact hours exceeding credit hours by 0.5 and adding that to the credit hour value of the course.

$$\text{Course Equivalent} = \frac{\text{Credit Hour Value} + 0.5 \times (\text{Contact Hours} - \text{Credit Hour Value})}{3}$$

For example, a one (1) credit hour science laboratory course that meets for three (3) contact hours each week will count as 2/3 of a teaching unit.

For classes where the additional contact time may serve as advising/mentoring time for students, as in many studio classes, the additional contact time may also be compensated by a 1/2-unit reduction in required office hours for each excess contact hour.

B. Large Classes

Course caps should be set by Departments in collaboration with the Dean based on pedagogical best practices, facility space, enrollment demands and accreditation requirements. UHCL values the learning experiences of a small class. However, enrollment demands sometimes require larger classes. A class over 50 undergraduate students (or 40 graduate students) at UHCL is classified as a “large class.” To ensure that students maintain quality engagement with an instructor, a TA/IA or embedded tutor will be provided for classes scheduled as a large class (i.e., cap of greater than 50), pending the availability of funding and a qualified TA/IA/tutor.

Additionally, to acknowledge the added faculty workload large classes entail, supplemental workload credit will be allocated to a faculty member teaching a large class, according to the formula below (using census data to determine student count).

$$\text{Course Equivalent} = 1 + \frac{2}{3} \times \frac{\text{Excess Enrollment}}{\text{Maximum Enrollment}}$$

Reference examples:

100 UG students	$1 + (2/3) * (100-50) / 50$	= 1.67 course equivalent
80 UG students	$1 + (2/3) * (80-50) / 50$	= 1.36 course equivalent
60 UG students	$1 + (2/3) * (60-50) / 50$	= 1.13 course equivalent
60 Grad students	$1 + (2/3) * (60-40) / 40$	= 1.33 course equivalent

If a large course is taught by adjunct faculty, the TA rule applies, and the formula above should be used to adjust compensation for the adjunct faculty on the same sliding scale that workload credit is assigned for full-time faculty.

C. Time-intensive classes

Time-intensive classes (e.g., writing-intensive classes, practicum classes, study abroad classes, or field experience courses where faculty members must coordinate with off-site partners and travel to those sites for grading) should be formally designated as such, and have an appropriate cap determined, through discussion among faculty and Dean with approval from the Provost. The multiplier for exceeding the appropriate cap should use the formula in 5.B, with the determined cap as the “maximum enrollment.”

D. Classes with Less than Minimum Enrollment

The number of students normally required for a course to meet enrollment minimums is set by the Colleges. If a faculty member is required to teach a course with below minimum enrollment, the

teaching credit will be that of a standard teaching unit. A faculty member may voluntarily teach a course at a reduced amount of workload credit to be agreed upon with their Dean.

E. Thesis/Dissertation/Exhibition supervision

Graduate thesis, dissertation and exhibition supervision shall provide teaching credit to the chairperson of the thesis or dissertation committee as follows:

- One course release for every 24 credit hours of thesis research or exhibition preparation completed. A faculty member cannot count one student for more than six (6) credit hours of credit for the purpose of this policy.
- One course release for every 12 credit hours of dissertation research completed. A faculty member cannot count one student for more than 12 credit hours of dissertation research for the purpose of this policy.

This course load credit *may* be divided among committee members by agreement. Default divisions of teaching credit for dissertation/thesis committees may be standardized at the College level by a vote of their respective faculty.

Supervision of other capstones, if requiring the intensive involvement of a faculty member, may be eligible for the same teaching credit, under discussion with the College Dean.

F. Independent Study, Problems Courses, Project Courses, Practica, Cooperative Education, Service Learning

In cases in which individualized teaching, tutorials, or consultive supervision takes place (unless students are grouped into an organized class) teaching credit is awarded to the faculty member on the basis of 1/30 course equivalent per SCH for each undergraduate, and 1/15 course equivalence per SCH for each graduate (with approval by Dean, since these cases may vary from College to College).

Reference examples:

10 undergraduate students in these capacities	= 1 course equivalent
5 graduate students in these capacities	= 1 course equivalent

G. Supervision of interns / student teachers

Teaching credit is awarded for supervision of an intern or student teacher at a rate of 3 credit hours of internship supervision = 1/12 course equivalent. Thus, supervision of six student interns (at 6 credit hours each) is equated to one full teaching unit credit.

Faculty may submit a request to change this established course equivalence multiplier to their Dean. The Dean and program faculty will agree upon any alternative based upon relevant facts such as commute time, documentation and evaluation of student teaching or intern performance, and meeting times with student teachers and teaching supervisors or internship managers.

If a program is supervising a high volume of internships and they can be organized into a course as a part of a normal teaching load, the course equivalence multiplier does not apply.

H. Teaching overload

A faculty member, with agreement of their Dean, may teach a course/courses beyond their defined teaching workload in each long semester, which is often but not always 60% (three reference courses) for a tenure-track faculty or 80% (four reference courses) for NTT faculty.

Overloads are always optional and faculty may decline administrative requests to teach beyond their assigned workload.

If this additional teaching is voluntary and adds up to the equivalent of a teaching unit, the faculty member will be compensated, at the selection of their Dean, with a course release to be taken in the following four long semesters or additional overload remuneration. This overload remuneration is determined by the College, should be consistent in absolute or percentage terms across the Colleges, must exceed the amount that would be paid to a similarly credentialed and experienced adjunct, but be no greater than 10% of the faculty member's 9-month salary.

If this additional teaching is voluntary and adds up to less than the equivalent of a teaching unit (e.g., taking over a course partway through a semester), the Dean may pay the faculty member proportionally to the College overload rate or allow the faculty member to bank it as fractional teaching credit.

If a faculty member is directed by the Accessibility Support Center to create a version of a course in a different modality (e.g., online) to meet student accommodation needs, it will count as a course overload in discussion with the department chair and approval by the dean. Other instances of additional modalities and adaptations to meet accommodation needs may be considered as an overload, in discussion with the department chair and approval by the dean.

VI. GUIDING PRINCIPLES FOR RESEARCH, SCHOLARLY AND ARTISTIC ACTIVITY (RSA) WORKLOAD ASSIGNMENTS

Each faculty member is expected to engage in RSA with resulting products that meet the College requirements for tenure, promotion, and post-tenure review for tenure-track and tenured faculty.

Each College will have policies that meet academic standards and accreditation needs while allowing the flexibility that supports innovative research and the potential to reach and impact a broad audience.

Each College must develop and publish expectations for faculty RSA workload. Each College should recognize that different disciplines have different products of RSA, that the tangible products of RSA are not always immediate, allow the faculty the flexibility needed for innovative RSA and recognize work that reaches both a typical scholarly audience and the broader public.

VII. GUIDING PRINCIPLES FOR SERVICE WORKLOAD ASSIGNMENTS

Each faculty member is expected to do service work towards the needs of the University and discipline in accordance with the policy of their College. Each College will determine how a service workload unit is constituted. This work consists not only of committee work, but rather a range of activities that support the goals of the institution.

Each College must develop and publish expectations for a service workload unit. Each College is encouraged to eliminate or streamline any service obligations that do not contribute to the smooth functioning of the university. For the service that remains, each College should recognize that different activities require different amounts of time and effort, weight them accordingly, and distribute them equitably.

VIII. MODIFIED WORKLOAD

The workload percentages listed in Section III constitute a standard workload for full time faculty. However, flexibility is possible based on the needs of the Academic Unit and the faculty member, in agreement by both. For example, certain positions such as Department Chair, Program leads, Faculty Senate President and Faculty Senate Executive Committee member typically require faculty members to take on a service load that exceeds the norm. In such cases, short-term modifications to the faculty workload may be made, for example through course releases.

Short-term modifications to any of the three components of workload may be made through discussions between faculty and Department Chair, and approval by the Dean. In no instance should the percentage of faculty workload dedicated to service be reduced to zero, since that places an undue burden on other faculty.

In the event that annual review feedback indicates a faculty member has a pattern of not meeting minimum workload expectations as delineated in their college annual review policy and criteria, the Department Chair may recommend a modified workload.

Any modifications of faculty workload should be in writing and include the reasoning for the modification and the timeframe that the modification will be in effect. The faculty member should be notified of the modification within 10 business days after the Dean's approval. The Chair, Dean, faculty member, and Provost should receive/maintain a copy of the modification. All modifications should be reflected in the college's annual workload report.

IX. DISPUTING WORKLOAD ASSIGNMENTS

Although not required in order to file a university level grievance, faculty members may discuss any concerns regarding their workload assignment with their Department Chair and subsequently with their Dean if concerns are not addressed.

If unresolved, Faculty members may dispute their assigned workload by initiating a university level grievance as provided in the UHCL Faculty Grievance Policy (UHCL MAAP 6.A.17). Until any dispute has been fully resolved, the terms of the original workload assignment being disputed will remain in effect.

X. WORKLOAD CERTIFICATION PROCEDURES

Each College will report the past year's annual faculty workload assignments, as well as the plan for the upcoming year, to the Provost, within 30 days of the end of spring semester. The Provost will provide a summary report of the previous year's workload assignments and modifications to the faculty at the start of the fall semester.

The University shall file with the Board of Regents a report, by department, of the academic duties and services performed by each member of the faculty during the nine-month academic year, showing evidence of compliance with requirements established by the governing board. Teaching responsibilities in each workload standard shall be in proportion to the portion of salary paid from funds appropriated for instructional purposes.

XI. REVIEW AND RESPONSIBILITY

This policy will be reviewed by the Faculty Life Committee of Faculty Senate every 5 years unless an interim need for substantive review or revisions is needed.

Responsible Parties: Faculty Life Committee of Faculty Senate

Review: Every 5 years

Faculty Availability Policy

UAAP 6.2

Approved 1984, 2011

Revised and approved 7/9/2021

I Purpose

This document describes UHCL's policy for faculty availability. Faculty availability represents UHCL's commitment to productive and collegial faculty-student interactions.

II Definitions

- A. Office hours: are designated times when faculty make themselves available to meet with students, either face to face or through other modes.
- B. Faculty member: all faculty positions, tenured or tenure track, non-tenured and part-time.
- C. Faculty Response Time: refers to the amount of time a student should expect to wait for a faculty member to respond to email, voicemail, text, or other indirect communication.

III Policy

Faculty members should make themselves available to students outside of class hours for academic consultation. Faculty may choose to be available through office hours or alternative engagement opportunities for at least one hour per week for each three hours of credit hours taught.

IV Faculty Response Time

Faculty should respond to student communications in a timely manner and make response time expectations clear in their syllabus.

V Publication of Faculty Availability

Faculty availability should be posted in the faculty suite and announced to students on appropriate platforms (course syllabi and Blackboard).

INTERCOLLEGE TEACHING POLICY

Policy 6.3

Approved June 1988

I Policy

A request for a faculty member in one college to teach a course in another college may be initiated by either the faculty member to his/her own Dean or by the Dean of the receiving college to the Dean of the faculty member's college. If the faculty member initiates the request, then that request is subject to the approval of the receiving Dean. If both the receiving and granting Deans approve the faculty member's assignment, then the receiving college shall provide the granting Dean with funds sufficient to obtain an adjunct faculty to teach one course that the faculty member would otherwise have taught in the granting college. In the event the Deans cannot agree on releasing the faculty member to the receiving college, the matter will be referred to the Provost. If the Provost approves the assignment, then the receiving college will pay the money for an adjunct replacement. If the issue is whether the faculty member is qualified to teach the course in question, the Provost will overrule a Dean only under the most unusual circumstances, e.g., demonstrable bad faith exercised in refusing the request. Interdisciplinary studies are to be encouraged. For example, the Futures Program must be protected under this procedure.

Patterns of interdisciplinary teaching already in place at the time this procedure is adopted will be given preferential treatment in terms of requests and permissions granted.

POLICY ON THE DIRECTION OF THESES AND MASTER'S PROJECTS

Policy 6.4/EPCC.1998.004

Approved by University Council March 12, 1998

I. Policy

Each college shall adopt, as part of the college's bylaws, a statement concerning faculty service on theses and master's project committees.

- A. The statement should specify the credentials for director and readers and the conditions for exemption from these regulations.
- B. The credentials statement should specify the status required of faculty serving in each position, e.g. full-time, tenure-track or tenured, terminally degreed, or college faculty member.

Policies on Performance Review, Promotion and Tenure and Post – Tenure Review

ANNUAL FACULTY REVIEW POLICY

Policy 5.1

I. Purpose

The University of Houston-Clear Lake has established an annual faculty report and professional developmental review to present a complete record of major activities in teaching, research and service during the academic year (UHCL, May, 1987). The annual review will report all academic related activities for a 12 month period. The Dean of the college will be responsible for establishing the time period for the report, and the date it will be due, and for notifying faculty regarding these timelines.

The faculty annual review report will be the only documentation required for the annual review. Additional supporting documentation may be required by the Dean. The submission of the annual review is a required activity of each faculty member, and this document will be placed in the college faculty file. Because certain activities can be potentially reported in more than one category (e.g. editorship, textbook, certain grants), faculty should report the activity in only one category and be prepared to justify the inclusion in the category in which it was placed. Faculty are encouraged to note both the quality of their efforts as well as the quantitative reporting of activities. All joint activities and co-authorships should be noted. The quality of efforts should also be conveyed because of its value and impact upon the institution. Feedback regarding faculty accomplishments will be conducted in several ways. Each college is charged with the responsibility for providing personal conferences regarding faculty activities. Non-tenured faculty will be required to have a face-to-face conference each year to discuss their activities. For tenured faculty, either the college or the faculty member has the option to request a personal conference. The personal conference will involve a review of faculty activities, as well as providing an opportunity for faculty to discuss their projected activities and potential needs for college support for the coming year. This conference will be a meeting between the faculty member and academic administrator(s) designated by the Dean of the college to conduct the conference. At the completion of the meeting, signature by the faculty member and the designated college academic administrator will be required. (These signatures do not reflect agreement between the two parties regarding the feedback; rather these signatures signify that the conference was held.) The faculty annual review has been designed to conform to the university promotion and tenure policy. The three major categories reflect this policy; however, it is not expected that the faculty would typically conduct activities in all of the subcategories of each category; rather these categories and subcategories suggest a systematic way of presenting activities. The second element of the annual review is the area of developmental activities to be reported for each of the three categories. This section has been established to provide faculty the opportunity to discuss specific activities which they have accomplished to improve their performance in particular areas.

II Teaching and Educational Activities

Teaching is a direct educational involvement with students inside or outside the classroom and includes such usual activities as classroom instruction, seminars, independent study project supervision, and supervision of graduate research. Verification of educational activities may include citation of new curricula or courses, educational publications, textbooks, and development of new degree and training programs. Documentation may include the following:

- A. Classroom Instruction
 - 1. List courses and numbers of students taught
 - 2. Student and colleague evaluations of instructional performance
- B. Individual Instruction and Advisement (other than organized classes)
 - 1. Number of students advised
 - 2. Number of supervised theses, projects, internships, independent studies, research projects, and other individual instruction activities
- C. Course and Program Development
 - 1. Development of courses or curriculum
- D. Development of new degree and training programs
- E. Training grants
- F. Development of Educational Materials
- G. Textbooks and educational publications
- H. Instructional Materials (simulations, case studies, audiovisuals, practice sets, computer programs, laboratory experiments, instructional games)
- I. Honors
- I. Developmental Activities

For example, participation in teaching improvement activities, post-graduate studies which are applied to current teaching efforts, or continuing professional education activities.

III Research, Scholarly and Artistic Activities

Research, scholarly or artistic activities are those which lead to the production and dissemination of new knowledge; to increased problem-solving capabilities, including such activities as design and analysis; to original critical or historical theory and interpretation; or to the production of artistic performance. (Co-authorship must be acknowledged.)

- A. Publications
 - 1. Books (in print or in press)
 - 2. Journal articles published or accepted for publication
 - 3. Reports and Monographs
 - 4. Book Reviews
 - 5. Chapters and Selections in Books
 - 6. Other Published Materials
- B. Paper Presentations, Abstracts and Poster Sessions
- C. Artistic Activities and Inventions (Exhibits, Choreography, Performances)
- D. Other Scholarly Activities
 - 1. Research Grants
 - 2. Editorships and Translations
 - 3. Editorial Review Boards

E. Honors Developmental Activities

For example, activities which make a fundamental contribution to research, scholarly, or artistic skills, works in progress, workshops which develop research capabilities.

IV Professional Activities and Service

Professional activities include:

- A. Service to professional organizations and journals
- B. Service to the university
- C. Professional service to the public
- D. Documentation may include:

- 1. Service to Profession: Officer Conference Coordinator Committee Membership
Other Organizational Activities
- 2. Service to the University Advisor to student Organizations
- 3. Program--Designated roles, committees, activities College--Designated roles, committees, activities University--Designated roles, committees, activities University System
- 4. Professional Service to the Public
Service to community, state or national organizations

E. Honors

F. Developmental Activities

(For example, those activities which develop skills to better provide public service activities such as special seminars for leadership development provided by a professional organization.)

UHCL ACADEMIC AFFAIRS POLICY (UAAP)

SECTION: Academic Affairs

UAAP Number: __.__.__

AREA: General

SUBJECT: Promotion and Tenure

I. PURPOSE

A tenured appointment is an indefinite appointment that can be terminated only for cause or under extraordinary circumstances such as financial exigency and program discontinuation. Tenure is awarded by the Chancellor of the University of Houston System, in the normal course of promotion and tenure review, upon recommendation of the President, under the authority delegated by the Board of Regents and upon the basis of recommendations within the colleges by the peer review committee, the Department Chair, the Dean, and at the university level by a university promotion and tenure committee including the Provost. Tenure is awarded on the basis of Teaching, Research, and Service excellence, consistent with the mission of the university. The promotion and tenure policy provides procedures that relate to renewal or non-renewal of appointments, tenure, and promotion.

II. DEFINITIONS

2.1 Appointment

Appointment is defined as the employment of an individual in a given capacity for a specified time period. Faculty appointments are made following procedures developed at the university and which have been approved by the Chancellor. Appointment letters must be approved by Academic Affairs (AA) and Human Resources (HR), and must follow standard forms as adopted by AA and HR. Prior approval of the President or Senior Vice President for Academic Affairs and Provost as designee is required before any faculty appointment with tenure can be recommended to the Chancellor. In addition, no person shall be appointed to the position of Dean, or equivalent, or Vice President, or equivalent, without prior consultation with the Chancellor and in accordance with Board of Regents Policy 57.10. No administrator may be given faculty status or tenure without a review and recommendation by the program unit involved.

2.2 Substitutions for Department Chair

For a candidate who seeks a review to a rank higher than that of their Department Chair, the Associate Dean of the college will serve in that capacity in consultation with the Department Chair. For a candidate who seeks a review to a rank higher than that of both their Associate Dean and Department Chair, the Dean of the college will appoint a designee to serve in consultation with the Department Chair.

2.3 The Promotion and Tenure Document

The Promotion and Tenure Document is the information that the candidate seeking promotion and/or tenure submits summarizing her/his case for promotion and/or tenure. It consists of the following items:

- 2.3.1 A formal request for promotion and/or tenure in the university. (For Associate Professors reapplying for Professor see section 9.0)
- 2.3.2 A full and complete copy of the applicable department/college promotion and/or tenure criteria against which the candidate plans to be assessed.
- 2.3.3 Written notifications from the Dean of any approved extensions of the probationary period.
- 2.3.4 Annual evaluations from the Department Chair for each year during the evaluative period (e.g. the probationary for Assistant Professor promotion to Associate Professor).
- 2.3.5 Letters from the Third-Year Review peer committee and Department Chair (only for promotion to Associate Professor).
- 2.3.6 A current curriculum vita.
- 2.3.7 A narrative of the candidate's case for promotion and/or tenure. This material should be organized under the three categories of professorial responsibility: (1) Teaching and Educational Activities, (2) Research, Scholarly, or Artistic Activities, and (3) Service.
- 2.3.8 Item 7 may total no more than the lesser of 7,500 words or fifteen pages. Many Promotion and Tenure Documents by successful candidates are frequently much shorter than fifteen pages.
- 2.3.9 Additional material required by the college or department.
- 2.3.10 Appendix material: supporting materials must include Dean-provided copies of all teaching evaluations administered by the university (quantitative and qualitative) in the probationary period for those going up for promotion and/or tenure to associate professor and all since awarding of tenure for those seeking promotion to full professor. Supporting materials may also include but are not limited to: course summaries, published research, research summaries, artistic products, etc.

2.4 The Promotion and Tenure File

The Promotion and Tenure File consists of the Promotion and Tenure Document and the following items that are added during the review process:

- 2.4.1 The UHCL Promotion and Tenure form showing the recorded votes and recommendations.
- 2.4.2 Letters of evaluation by external reviewers, copies of letters soliciting the reviews and brief statements of the reviewers' qualifications.
- 2.4.3 The votes and recommendations of both the Peer Review Committee (PRC) and Department Chair.
- 2.4.4 A candidate rebuttal or letter of information (optional).
- 2.4.5 The recommendation of the Dean.
- 2.4.6 A candidate rebuttal or letter of information (optional).
- 2.4.7 The recommendation of the Provost on behalf of the University Promotion and Tenure Committee (UPTC).
- 2.4.8 The recommendation of the President.

2.5 Candidate Rebuttal Letter

A rebuttal or letter of information is an opportunity for the candidate to (a) challenge assertions or conclusions in the file or (b) report the acceptance or publication of a work of printed scholarship or the awarding of a grant. The letter and supporting evidence will be added to the candidate's Promotion and Tenure File and will be given full consideration at all subsequent stages of the promotion and tenure process. The letter and supporting evidence may not exceed fifteen pages in total, although it may reference additional items with instructions as to where and how they may be inspected. Rebuttal or letters of information may be submitted after the review of the Department Chair and after the review by the Dean.

2.6 Conflict of Interest

A conflict of interest can occur when an evaluating party could realize personal, financial, professional, or other gain or loss as a result of the outcome of the P&T process, or when the objectivity of the evaluating party could be impaired by virtue of the relationship or current/previous human resource investigations. The specific nature of the conflict of interest should be noted in a written statement by the candidate or evaluator to the Provost. If the Provost determines that the process would be compromised by the participation of the individual with a conflict of interest, that faculty member must recuse him or herself from participation in that particular case. The Provost will notify the Dean of the College and the Faculty Senate President if a determination is made that a member of the evaluating parties will be removed from the promotion and/or tenure process.

Conflicts of interest must be addressed in the Spring semester when the promotion and tenure process begins. Documentation of the conflict of interest should be submitted to the Provost on or before May 1.

III. PROBATIONARY PERIOD

The probationary period is defined as the time an untenured faculty member is eligible to work towards tenure. The maximum duration of this period, as set forth in the letter of appointment of each faculty member, shall be no more than four years for persons hired at the rank Professors or Associate Professors, and six years for Assistant Professors.

3.1 Initiation of Probationary Period

The standard probationary period begins at the start of the fall semester of the appointment. If a faculty member begins employment between January 1 through August 31, the partial academic year shall not count as part of the probationary period.

3.2 Length of Probationary Period for Assistant Professors

The maximum probationary period for a faculty member appointed as an Assistant Professor is the equivalent of six (6) years of full-time service. The length of the probationary period may be adjusted due to credit for prior full-time collegiate level teaching. The minimum duration of the

probationary period shall be three years for persons hired at the rank of Assistant Professor. If the probationary period is shortened as a condition of the appointment, it shall be approved by the Provost and accepted by the President as articulated in the letter of appointment for the faculty member. In the spring semester of the fifth year of the probationary period, the faculty member will be notified in writing by the Dean's office that the final and mandatory review for tenure will take place in the sixth year of the probationary period. The faculty member has the responsibility to request or decline review by the end of the spring semester of the fifth year of the probationary period as outlined in the published schedule found on the website of the Provost. The faculty member's decision to become a candidate for promotion and tenure should be submitted in writing to the Dean. If a faculty member declines review in the sixth year, such declination will be deemed to be a resignation effective at the end of the probationary period. Should the candidate fail to obtain tenure by the end of the probationary period the faculty member will be terminated after one additional year of service, during which the faculty member will not be considered for tenure.

All Assistant Professors who are retained through their probationary period and who apply for tenure and promotion from Assistant to Associate Professor will be reviewed in the sixth year of the probationary period. In rare and exceptional cases, however, candidates who believe that they have achieved a truly outstanding record earlier in their career may request to the Provost the opportunity to apply for promotion and tenure in the fourth or fifth year at UH-Clear Lake. Should the candidate be granted an early review during their fourth or fifth year and fail to earn promotion and tenure during the review, the faculty member will be terminated after one year of additional service, during which the faculty member will not be considered for tenure.

3.3 Length of Probationary Period for Associate Professors or Professors without Tenure

A faculty member appointed without tenure at the rank of Associate Professor or professor shall normally serve a probationary period no less than two years and not to exceed four years. In the spring semester of the third year of the probationary period, the faculty member will be notified in writing by the Dean's office that the final and mandatory review for tenure will take place in the fourth year of the probationary period. In cases of perceived exceptional merit, an Associate Professor or Professor may choose to apply for consideration for tenure at the end of their second year. It is the faculty member's responsibility to request or decline review in the fourth year of the probationary period. If a faculty member declines review in the fourth year, such declination in writing will be deemed to be a resignation effective at the end the probationary period. Should the candidate fail to obtain tenure by the end of the probationary period, the faculty member will be terminated at the end the probationary period.

3.4 Length of time for Promotion to Professor

A minimum of three years in rank is required in order to be considered eligible for promotion from Associate Professor with tenure to Professor. An Associate Professor with tenure seeking Professorial rank must notify the Dean of his/her intentions by the time specified in the published schedule found on the website of the Provost. An example of this minimum timeline would be: A faculty member is promoted to the rank of Associate Professor on 9/1/22. That

faculty must complete three years in the rank of Associate Professor (22-23; 23-24; 24-25) and can submit materials in the spring of their third year (Spring 25) to undergo review in their fourth year (25-26) for potential appointment as a full professor.

A candidate can make a request to the Provost to be reviewed with fewer than three years in rank as an Associate Professor with tenure in rare and exceptional circumstances.

3.5 Extending the probationary period

Extensions to the probationary period may be granted upon formal written request by the faculty member with written recommendation of the Dean and Provost, and final written approval by the President. Documented extensions to the probationary period are also referred to as 'stopping the clock'.

- 3.5.1 **Timing.** Extensions are usually for one year, but a longer period may be requested in compelling circumstances. Any extension greater than one year must be recommended by the Dean and Provost and approved in writing by the President. The stop-the-clock period will be excluded from the probationary period and the probationary period will be extended accordingly.

Faculty members who intend to request an extension of the probationary period are encouraged to do so as early as the situation arises.

- 3.5.2 **Qualifying Circumstances.** Circumstances for which a faculty member may request an extension to the probationary period include, but are not limited to: the birth or adoption of a child; responsibility for managing the illness or disability of an immediate family member, parent or partner; serious persistent personal health issues; death of a parent, spouse, child, or domestic partner; military service; and significant delays in fulfillment of UHCL resources committed in the appointment letter.

Not having met Teaching, Scholarship, and Service expectations during a previous review period does not qualify as an extenuating circumstance for extension of the probationary period.

- 3.5.3 This policy is separate and distinct from any terms and conditions outlined in the Faculty Development Leave policy. Nor does it affect any existing policy or policies relating to faculty leave.

IV. REVIEWS DURING THE PROBATIONARY PERIOD

4.1 Annual Performance Review

Every tenure-track faculty member will undergo an annual performance review conducted by the Department Chair according to College procedures. Included in the Department Chair's annual evaluation of all untenured faculty shall be a statement from the chair summarizing the individual's cumulative progress towards obtaining tenure.

The annual performance review and the included feedback do not imply a specific commitment to future university action in promotion and tenure.

4.2 Third-Year Review of Assistant Professors

All candidates for tenure shall receive a third-year review of their progress towards tenure and promotion in the spring of their third year of the probationary period. The third-year review of Assistant Professors will be coordinated by the Dean.

Reviews will be conducted during the third year of the probationary period unless the candidate and Dean negotiate a different timeline for review. Written documentation of such an agreement shall be placed in the candidate's personnel file with a copy provided to the Provost and the candidate.

4.2.1 The third-year review of Assistant Professors will include written review of:

4.2.1.1 Current strengths and opportunities for improvement of the tenure-track faculty member in the areas of Teaching and Educational Activities; Research, Scholarly, or Artistic Activities; and Service. Only the areas used to judge a candidate for promotion and tenure as described in section 5.0 Professional Responsibilities and Activities and the appropriate department or college criteria listed in the relevant bylaws shall be used in the third-year review of the tenure-track faculty member.

4.2.1.2 Progress toward tenure and promotion. In cases where progress is not occurring in one or more of the areas noted above, the Third-Year Review Committee (TYRC) is expected to provide suggestions for strengthening the faculty member's candidacy in the identified area(s).

The third-year review process is similar to a promotion and tenure review. Its purpose is to provide guidance to the tenure-track faculty member regarding future directions and activities. To provide the most effective and clear feedback, the Dean and the chair of the TYRC are responsible for communicating to the individual the review's assessments and recommendations for future directions. The faculty member will receive copies of all assessments and recommendations at least one week prior to the meeting with the Dean and chair of the peer review committee.

The third-year review's recommendations and findings do not imply a specific commitment to future university action in promotion and tenure.

4.3 Third-Year Review Procedure

4.3.1 All designated third year faculty will be informed by the Dean of the guidelines of this process, the dates for submission and the composition of their vita and documentation. Participating third year faculty will be asked to submit a current curriculum vita and documentation of all activities and publications (including those in press) relating to teaching, scholarship and service during the period of review or as indicated in the offer letter. The faculty

member may also discuss projects and papers in progress. The documentation should be organized under the three areas of professorial responsibility: Teaching and Educational Activities; Research, Scholarship or Artistic Activities; and Service. No external letters shall be solicited for this review.

4.3.2 Timing for election of the TYRC. The TYRC will be formed in the fall semester preceding the spring semester review period.

4.3.3 Qualifications. Candidates for third-year review must be reviewed by a committee of their peers. The TYRC will consist of those tenured faculty in the same academic program as the candidate; their rank must be equal or higher than the rank requested by the candidate. The committee must include a minimum of five faculty members.

4.3.4 Selection Process. If more than five faculty are eligible for the committee, they will decide: (1) to act as a committee of the whole or (2) to elect from among themselves a review committee.

If fewer than five faculty from within the academic program are eligible for the TYRC, faculty from the department, appropriate related disciplines, or academic programs from across the university will be added to form a five-person committee. These additional members will be identified by the candidate and shared with the TYRC. The candidate must include the name, rank, discipline, and a justification for each of the nominees. The initial TYRC members will forward the candidate's information to the Dean with their recommendations. At that point, the Dean will make the selection however, prior to finalizing the members on the committee, the Dean will consult with the candidate and with the eligible individuals. The final membership of the TYRC will be communicated in writing to all parties in the review process.

4.3.5 The review committee members are charged with the responsibility of assessing whether the candidate has demonstrated adequate progress toward promotion and tenure in each of the three areas of professorial responsibility outlined in Section V and the appropriate department or college criteria listed in the relevant bylaws. In cases where adequate progress is not seen, recommendations on steps to address performance should be included.

4.3.6 The vita and documentation will be reviewed by the TYRC. The committee will submit its written report and recommendations with the candidate's documentation to the Department Chair. The Department Chair will complete her/his review of the candidate and forward both written reports to the Dean.

4.3.7 The Dean will examine the faculty member's documentation and vita, review the reports from the TYRC and Department Chair and develop recommendations. The Dean will be responsible for communicating in written and verbal form, the results of the review process and the assessment of the faculty member. This assessment will include discussion of the strengths and weaknesses of the faculty member's current activities, suggested actions for strengthening the faculty member's candidacy and general comments on the format and documentation. This communication should provide feedback to guide the future directions of the tenure-track faculty member, with the understanding that the purpose of the review is to help the faculty

member in his/her professional development. The Dean and the chair of the peer review committee will meet together with the candidate under review by May 31 of the third year and provide feedback and copies of all assessments.

V. PROFESSORIAL RESPONSIBILITIES

Faculty members will be expected to meet the highest standards of their discipline within the three traditional areas of professorial responsibility: Teaching and Educational Activities; Research, Scholarly, or Artistic Activities; and Service. While examples of activities assessed are listed in sections 5.1-5.3, the standards of acceptable performance and criteria to earn promotion and tenure are established in either department or college bylaws.

Candidates seeking tenure or promotion and tenure to Associate Professor may choose to be considered according to criteria specified in any version of their department or college bylaws that were in effect during their probationary period or specified in the letter of appointment.

Candidates seeking promotion to Professor may choose to be considered according to criteria specified in any version of their department or college bylaws that were in effect during the six years before the date on which the requested promotion would be effective.

5.1 Teaching and Educational Activities

- 5.1.1 Teaching consists of direct involvement with students inside or outside the classroom. Examples may include classroom instruction and seminars, supervision of independent study and graduate research, student advising, student internship and direction of graduate theses and dissertations. All university faculty are expected to incorporate new knowledge into their courses on a continuing basis. Documented evidence of teaching expertise may include, but is not limited to: student and peer evaluations, course syllabi, or teaching awards.
- 5.1.2 Educational activities may include, but are not limited to: the development of new curricula, new courses, new degree programs and new training programs; the writing of textbooks and educational publications; and presentations about teaching at professional meetings.

5.2 Research, Scholarly, or Artistic Activities

- 5.2.1 Research, scholarly or artistic activities are those which lead to the creation and dissemination of new knowledge; to increased problem-solving capabilities, including such activities as design and analysis; to original critical or historical theory and interpretation; or to the production of art or artistic performance.
- 5.2.2 Evaluation of competency in scholarly and artistic activities must include records of accomplishments. These may include but are not limited to: publications (including those in press), commissions, exhibitions, inventions, patents, awards, grants, and external letters of evaluation from those knowledgeable in the candidate's area of scholarship.

5.3 Service

- 5.3.1 Service may include: 1) service to professional organizations and journals; 2) service to the university (program, department, college) and 3) service to the community.
- 5.3.2 Service is the application and dissemination of knowledge or skill for the solution of problems and the improvement of the university, the profession, or the community.

VI. CRITERIA AND STANDARDS FOR PROMOTION AND TENURE

The basic criteria and standards for promotion and tenure reflect the University's commitment to academic excellence. Candidates for promotion and/or tenure at any level shall be judged solely in the three traditional areas of professorial responsibility: Teaching and Educational Activities; Research, Scholarly, or Artistic Activities; and Service. The overall evaluation shall make a determination of "Recommended for Promotion and/or Tenure" or "Not Recommended for Promotion and/or Tenure" in each of the three traditional areas of professorial responsibility. The criteria and standards necessary for promotion and tenure are provided in the relevant college bylaws. In order to earn promotion and/or tenure, a candidate must be "Recommended for Promotion and/or Tenure" in each of the three areas of professorial responsibility.

6.1 Standards for Associate Professor with Tenure

Candidates for promotion to Associate Professor with tenure are expected to be excellent teachers providing high-quality and effective instruction to students; scholars who have made quality contributions to knowledge as a result of their scholarly or creative achievements; and members of the university community that have demonstrated an appropriate level of service. The evaluation focuses on contributions during the probationary period.

6.2 Standards for Professor

Promotion to the rank of Professor requires significant contributions to the candidate's field that have had a scholarly or creative impact beyond the university. Candidates for promotion to Professor are expected to be excellent teachers providing high-quality and effective instruction to students. There should be evidence of state, regional, or national recognition of the candidate's reputation. The evaluation focuses on contributions since promotion to Associate Professor.

VII. PROMOTION AND TENURE REVIEW PROCESS

This section describes the process for the reviewing, processing and handling of tenure and promotion cases. A candidate's case will be reviewed by: (1) the peer review committee (PRC), (2) the Department Chair (normally this is the Department Chair unless the chair does not hold a rank above the candidate in which case the Associate Dean will serve), (3) the Dean, (4) the University Promotion and Tenure Committee, chaired by the Provost and (5) the President.

The Dean or the Dean's designee will notify in writing each Assistant Professor who is starting their fifth year of a six-year probationary period that he or she must prepare a Promotion and Tenure Document and be evaluated in their sixth year. Individuals who have a probationary period that differs from the standard outlined herein, shall be notified in writing by the Dean or Dean's designee that it is time to prepare a Promotion and Tenure Document in the year that corresponds with what is outlined in the letter of appointment. The candidate begins the review process by submitting a written request for review to the Dean or Dean's designee in accordance with the published timeline. The candidate must submit all materials within the timeframe according to schedule published by the Office of the Provost.

7.1 Promotion and Tenure Document

Candidates are expected to present evidence in support of their cases for promotion and tenure. The record to be reviewed will consist of documents the candidate provides and supplemental materials related only to teaching, research, and service from the candidate's personnel file. Specific requirements for what constitutes documentation may be detailed in the college bylaws. The candidate must provide a promotion and tenure document for consideration of promotion and/or tenure that includes the materials outlined in 2.4.

7.2 External Reviewers

External Reviewers provide an independent assessment of the candidate's work and professional standing. This section includes the requirements, timing sequence, selection process and qualifications for external reviewers.

- 7.2.1 Requirements. For all tenure and promotion reviews, at least three letters from external reviewers must be solicited.
- 7.2.2 Qualifications. The external evaluators should be experts in the field of the candidate, and, if they are faculty members at academic institutions, they should hold at least the rank to which the candidate aspires or its equivalent. External reviewers must have demonstrated expertise or knowledge in the area(s) of the candidate's scholarship. External reviewers must be scholars who are not current or former thesis/dissertation advisors, co-authors, students, relatives, co-investigators, mentors, or close personal friends of the candidate.
- 7.2.3 Timing. The external review process begins during the spring semester prior to the submission of the external evaluation file for review. The candidate provides the external evaluation file, as defined in Section 7.4, to be sent for outside review to the Department Chair by June 1. The Department Chair sends letters and the external evaluation file no later than June 15 and requests outside reviewers to return them by September 15.
- 7.2.4 Selection Process. The candidate forwards a list of prospective external reviewers that includes the name, rank, discipline, and a justification for each of the nominees to the PRC and the Department Chair. The candidate and the PRC shall agree on a list of individuals from whom letters of evaluation will be solicited.

7.3 The External Review.

The external reviewer is asked to make judgments about the candidate's scholarly activities. They should not relate to promotion and tenure at the writers' institution.

At least three letters of evaluation from peers external to the University who can review the case in an unbiased manner (see section 7.2.2) must be solicited for all promotion and/or tenure decisions. All letters received from external reviewers shall be included in the Promotion and Tenure File.

7.4 The External Review File

The candidate will be responsible for developing an external evaluation file which shall include a curriculum vita, a narrative focused solely on research or artistic activity stating the candidate's case for promotion and/or tenure, plus products showing evidence of proficiency in scholarship, the current scholarship criteria and a document outlining the candidate's teaching and service duties. The responses from external evaluators are at that time considered part of the candidate's Promotion and Tenure File.

7.5 External Review Letters & Workflow

At the time in which it is possible to utilize the promotion and tenure software for online distribution of the External Review File and submission of external review letters, the Associate Dean or their designee will monitor the process and communicate about these steps with the chosen external reviewers.

7.5 The Peer Review Committee (PRC)

- 7.5.1 Timing. The Peer Review Committee will be formed in the spring semester preceding the review year. Department Chairs send a note to all candidates for promotion and/or tenure that it is time to form their PRC. The Candidates forward their proposed PRC membership list to their Dean for final approval.
- 7.5.2 Qualifications. Candidates for promotion and/or tenure must be reviewed by a committee of their peers. The committee will consist of those tenured faculty in the same academic program as the candidate; their rank must be equal or be higher than the rank requested by the candidate. The committee must include a minimum of five faculty members.
- 7.5.3 Selection Process. If more than five faculty are eligible for the committee, they will all communicate to decide: (1) to act as a committee of the whole or (2) to elect from among themselves a review committee.

In addition, a candidate may request that a faculty member from an appropriate related discipline or academic program from across the university be added to the PRC. This written request is to be provided to the Dean for approval. The Dean's decision and justification regarding PRC membership must be provided

in writing to the candidate within 15 working days of receipt of the written request.

If fewer than five faculty from within the academic program are eligible for the PRC, faculty from the department, appropriate related disciplines, or academic programs from across the university will be added to form a five-person committee. These additional members will be identified by the candidate and shared with the PRC. The candidate must include the name, rank, discipline, and a justification for each of the nominees. The initial PRC members will forward these names to the Dean with their recommendations. At that point, the Dean will make the selection; however, prior to finalizing the members on the committee, the Dean will consult with the candidate and with the eligible individuals. The final membership of the PRC will be communicated in writing to all parties in the review process by the Dean.

7.5.4 The Peer Review Committee Assessment of the Candidate's Promotion and Tenure File.

The Associate Dean will schedule an initial meeting of the PRC at which time the PRC members will elect the PRC Chair. The PRC Chair must be elected by the PRC and communicated to the Dean and Provost on or before May 1. The committee must decide, through a thorough, judicious, and confidential review of the candidate's Promotion and Tenure File, whether the candidate has met the college criteria of acceptable performance in teaching, scholarship and service for the rank requested. If the PRC reviews materials that are not part of the candidate's Promotion and Tenure File the chair of that committee shall promptly make such materials available to the candidate and will add the materials, with a cover sheet identifying the source, to the end of the Promotion and Tenure File.

7.6 The Peer Review Committee Report

- 7.6.1 The PRC's vote and recommendation shall be communicated in a statement written by the chair of the PRC, in consultation with the other members of the committee. The report shall reflect the committee's vote and explain the reasoning for its conclusions. It shall include an assessment of the candidate's performance in each of the traditional areas of professorial responsibility: Teaching and Educational Activities; Research, Scholarly, or Artistic Activities; and Service.
- 7.6.2 The PRC's report must address whether or not the candidate's performance has met the standards of performance in each of the three traditional areas of professorial responsibility listed in 7.6.1. All faculty on the PRC must vote on the candidate's performance in each of the three traditional areas of professorial responsibility. The PRC's report must also clearly indicate if the candidate is, "Recommended for Promotion and/or Tenure" or "Not Recommended for

Promotion and/or Tenure” in each of the three areas. In order to earn promotion and/or tenure, a candidate must be “Recommended for Promotion and/or Tenure” in each of the three areas of professorial responsibility.

7.6.3 If the committee cannot reach a unanimous decision, its division and the reasons for it shall be expressed in the peer review committee report. All committee members must be aware of all concurring or dissenting statements submitted in the report. If a unanimous decision cannot be reached the final decision of the PRC and the report indicating “Recommended for Promotion and/or Tenure” or “Not Recommended for Promotion and/or Tenure” is based upon a simple majority vote of the PRC.

7.6.4 The PRC Chair adds the report to the candidate’s Promotion and Tenure File and forwards the file to the Department Chair. The PRC chair notifies the candidate that the report has been added to the file and forwarded.

The PRC Chair will have access to the workflow and be able to see each subsequent letter and rebuttal submitted throughout the completion of the review process.

7.7 The Department Chair Review

7.7.1 The candidate's Department Chair reviews the candidate’s materials and the report from the PRC and makes her/his recommendation. The Department Chair reviews the candidate’s Promotion and Tenure File and makes his/her recommendation in a written statement that explains either support or opposition for promotion and tenure based solely on the college criteria of acceptable performance in Teaching and Educational Activities; Research, Scholarly, or Artistic Activities; and Service.

7.7.2 The Department Chair’s recommendation must address whether or not the candidate’s performance has met the standards of performance in each of the three traditional areas of professorial responsibility listed in 7.7.1. by clearly indicating if the candidate is, “Recommended for Promotion and/or Tenure” or “Not Recommended for Promotion and/or Tenure” in each of the three areas. In order to earn promotion and/or tenure, a candidate must be “Recommended for Promotion and/or Tenure” in each of the three areas of professorial responsibility.

7.7.3 The Department Chair adds her/his recommendation to the Promotion and Tenure File and forwards the file to the Dean. The Department Chair shall promptly notify the candidate that the report from the Department Chair has been added to the file.

7.7.4 Upon receiving notification by the Department Chair, the candidate will have access to the Promotion and Tenure File and has at least five working days to submit a letter of rebuttal and supporting evidence to the file. In a rebuttal or

letter of information, the candidate may (a) challenge assertions or conclusions in the file or (b) include additional supporting evidence such as the acceptance or publication of a work of printed scholarship. The letter and supporting evidence will be added to the candidate's Promotion and Tenure File and will be given full consideration at all subsequent stages of the promotion and tenure process. The rebuttal or letter of information and supporting evidence may not exceed fifteen pages, although it may reference additional items with instructions as to where and how they may be inspected.

7.8 The Dean Review

- 7.8.1 The Dean reviews the candidate's Promotion and Tenure File and makes his/her recommendation in a written statement that explains either support or opposition for promotion and tenure based solely on the college criteria of acceptable performance in Teaching and Educational Activities; Research, Scholarly, or Artistic Activities; and Service. The Dean's recommendation must address whether or not the candidate's performance has met the standards of performance in each of the three traditional areas of professorial responsibility listed in 7.4.1. by clearly indicating if the candidate is, "Recommended for Promotion and/or Tenure" or "Not Recommended for Promotion and/or Tenure" in each of the three areas. In order to earn promotion and/or tenure, a candidate must be "Recommended for Promotion and/or Tenure" in each of the three areas of professorial responsibility. The Dean's recommendation is added to the candidate's Promotion and Tenure File.
- 7.8.2 The Dean shall notify the candidate when her/his recommendation has been added to the Promotion and Tenure File and shall make the file available to the candidate.
- 7.8.3 Upon receiving the Dean's notification, the candidate has at least five working days to submit a letter of rebuttal and supporting evidence to the file as described in Section 7.7.4.

7.9 The University Promotion and Tenure Committee (UPTC)

- 7.9.1 This Committee shall be chaired and facilitated by the Provost. It shall include the Deans of the College of Education, College of Business, College of Human Sciences and Humanities, and College of Science and Engineering; and one Full Professor elected by each of the four Colleges; and one Full Professor-at-large, who is to be elected by the Faculty Senate. In addition, the Committee will be staffed by one non-voting representative of Faculty Senate Executive Council and one non-voting administrative representative from Academic Affairs who will observe the meeting and tabulate all votes. All Professors must be tenured faculty. Faculty who hold administrative positions are not eligible for election to

faculty positions on the University Promotion and Tenure Committee (e.g., Department Chair). A college that does not have a Professor eligible for election may elect a Professor from another college. Only individuals listed above may attend University Promotion and Tenure Committee Meetings except as noted below. For cases discussed at the meeting, members must be present to vote, and no substitutes or alternates for Committee members are permitted.

7.9.2 The UPTC faculty membership will serve a term of one year and cannot serve more than two consecutive terms.

7.9.3 The UPTC membership will review all Promotion and Tenure Files from all candidates under review at UHCL in any given academic year. The committee will have access to each candidate's Promotion and Tenure File and will do a review of the documents prior to meeting.

At least one week before the Committee meets, the Office of the Provost sends each UPTC member a confidential preliminary ballot containing the names of all of the candidates up for review for whom that member has a vote.

- A "yes" response on this ballot is a vote to approve the requested promotion and/or tenure without any discussion of the case.
- A "no" response on this ballot may be a vote to deny the promotion and/or tenure, or it may be a vote to delay the decision until after the committee has discussed the case.

7.9.4 The preliminary ballot is returned to the Office of the Provost by the day prior to the meeting of the Committee so that the results of the preliminary balloting may be tabulated and presented to the Committee when it meets.

7.9.5 At the UPTC meeting all members are required to vote. Those candidates that receive a simple majority of votes from the preliminary balloting will be presented as a group to the Committee for a collective approving vote. If the motion passes by a majority vote, then all will be approved by the vote in the preliminary ballot. If the motion fails to receive a simple majority vote, then each candidate who did not receive a unanimous preliminary vote (100% "yes" vote) will be discussed and voted on individually. Each candidate who receives a unanimous preliminary "yes" vote, moves forward without further discussion.

During discussions the Provost will initially present the candidate's case. After discussion concludes the Provost will call for a vote (secret ballot). The Dean and faculty member from the candidate's college, while present for discussion, will not be permitted to vote. All votes for approval of promotion and/or tenure are by secret ballot. A simple majority is required of all eligible Committee members who are present and voting on all tenure or promotion cases. In the case of a tie, a second round of discussions will occur followed by a second,

secret ballot vote. The outcome of the second vote will be final. If the UPTC cannot reach a unanimous decision, its division and the reasons for it shall be expressed in the UPTC Report. Deliberations of the Committee and all statements made by individual Committee members are confidential. The written statements explaining the basis for the Committee's recommendations, however, are not confidential.

7.9.6 The normal sequence for consideration of candidates for promotion and tenure is reflected in the preliminary ballot. The ballot is arranged in descending order by rank with promotion only nominations for each rank listed first followed by nominations for promotion with tenure. Within each category, nominees appear in alphabetical order by college and by name of the candidate. The normal order is summarized below:

1. Associate to Full Professor
2. Assistant to Associate
3. special considerations for tenure only

7.9.7 The Provost writes the reports for each of the candidate's cases after the review of the UPTC. These reports are placed in the Promotion and Tenure File of each candidate. The Provost shall promptly notify the candidate when his/her report has been added to the file and shall make the file available to the candidate.

7.10 The President

After reviewing the candidate's Promotion and Tenure File, the President makes a determination of supporting or opposing the candidate's request for tenure and/or promotion. The President forwards her/his report to the chancellor and inserts a copy in the Promotion and Tenure File. The President shall promptly notify the candidate when her/his report has been added to the file and shall make the file available to the candidate.

VIII. PROMOTION AND TENURE SCHEDULE

In the spring of each academic year, the Office of the Provost will publish and distribute to all full-time tenure-track and tenured faculty, a schedule containing specific dates which shall govern the completion of the stages of the tenure and promotion evaluation process. The schedule must allow sufficient time at each step of the process for review of the documentation and formulation of recommendations. The schedule will be posted on the website of the Office of the Provost.

IX. REAPPLICATION FOR PROFESSOR

If a candidate is denied the rank of Full Professor after review for promotion, he or she may reapply for consideration in subsequent years. It is advised that the candidate review his/her letters of recommendation, from internal and external evaluators, provided throughout the promotion review process in order that he or she may address the areas of concern.

Reapplication cannot constitute resubmission of the previous promotion file. There must be a substantive update to the materials (e.g., narratives, publications, service record, supporting evidence, etc.). The candidate must provide a cover letter in their Promotion and Tenure Document indicating the changes, including new or additional accomplishments or materials, that are in the document at the time of submission and which justify the candidate’s reapplication. This letter becomes part of the candidate’s file and should be reviewed with all other submitted materials.

X. PROMOTION AND TENURE APPEALS

A candidate may appeal a University Promotion and Tenure Committee’s recommendation on the grounds that (a) an error in the described procedures materially affected the outcome, (b) the decision was not based upon the applicable criteria included in the Promotion and Tenure File, or (c) the outcome was arbitrary, discriminatory or capricious. The Candidate will have no less than five working days after receiving written notification of the decision and vote of the University Promotion and Tenure Committee to notify in writing the Provost of her/his intent to file an appeal. The deadline will be established in the schedule posted on the website of the Office of the Provost. The actual deadline in a given year is set forth in the schedule published on the website of the Office of the Provost. Currently, promotion and tenure appeals are handled through the Faculty Grievance Policy (Section 15)

XI. REVIEW AND RESPONSIBILITY

This policy will be reviewed by The Office of The Provost and Faculty Senate every three years or sooner, if warranted.

Responsible Parties: Senior Vice President of Academic Affairs and Provost & Faculty Senate

Review: Every 3 years

XII. APPROVAL

Approved: *Christopher Maynard*
Senior Vice President of Academic Affairs and Provost

Richard Walker
President

Date: 5/30/2023

XIII. REVISION LOG

Revision Number	Approval Date	Description of changes
	1/20/1994	Policy Created and Approved

	4/11/1996	Amended and Approved
	5/10/2018	Amended and Approved
	12/12/2019	Revision to Policy Process and Criteria; establishment of UPTC; revision to grievance procedures; etc.
CONVERSION TO UAAP FORMATTING AND TRACKING PROCESS		
1	5/30/2023	Added and/or edited language relating to: Conflict of interest; clarifying length of time for promotion to professor; clarifying information expected in the appendix of the Promotion and Tenure Document.

UNIVERSITY OF HOUSTON-CLEAR LAKE-POST TENURE PERFORMANCE REVIEW

Policy FSEC. 1998.001

Previously reviewed and approved by University Council April 9, 1998

Approved by UHS Board of Regents April 16, 1998

(1.0) Purpose

This policy details the University of Houston-Clear Lake's compliance with Section 51.942 of the Texas Education Code and with the University of Houston System Board of Regents Policy on Post-Tenure Performance Review.

(1.1) Policy

Under the existing University of Houston-Clear Lake (UHCL) Comprehensive Annual Faculty Review Policy (Section 5.0 of the UHCL Faculty Handbook), both tenured and untenured faculty are reviewed each year in the areas of teaching, research, service, and/or administration based upon the faculty

member's job description and workload commitment. The Dean (or the Dean's designee) may choose to meet with a faculty member to review the faculty member's activities, as well as to provide the opportunity for the faculty member to discuss projected activities. This post-tenure performance review policy extends the existing policies by isolating and further defining those provisions specifically related to post-tenure performance review. The provisions of this policy are directed toward the professional development of the faculty member as indicated in Section 51.942 of the Texas Education Code.

(1.2) Performance Standards

Each college shall develop, maintain, and publish a statement of standards by which the performance of all faculty is evaluated. The following guidance is provided for the development of college standards:

1. College standards for post-tenure performance review should embrace the entire scope of faculty contributions. Differences in faculty commitments and assignments within the college and university should be recognized. College standards should typically address:
 - the individual's effort and effectiveness in contributing to the university's instructional mission;
 - the individual's activity in and contributions to the academic discipline; and
 - the individual's contributions to the collective life of the program, college, and university.
2. College statements must affirm support for the basic principles of academic freedom and should express tolerance for minority opinions, dissent from professional orthodoxies, and honest and civil disagreement with administrative policy, protocol, and actions. According to the University of Houston System Board of Regents Policy on Post-Tenure Performance Review, the implementation of a post-tenure performance review policy will not result in compromising academic freedom. Academic freedom is defined in Section 8.1 of the Faculty Handbook.

(1.2.1) Performance Notification

All tenured faculty members will receive written notification by September 30 of the academic year preceding the post-tenure performance review.

(1.2.2) Dismissal Policy

The Dismissal of Faculty Members with Tenure and Special or Probationary Appointment before the End of the Specified Term of Appointment Policy (Section 5.4 of the Faculty Handbook) and University of Houston System Faculty Dismissal Policy (Section 5.6 of the Faculty Handbook) describe causes for dismissal of a faculty member.

Nothing in this policy shall be construed to prevent the university from invoking any of the provisions of the Dismissal of Faculty Member with Tenure and Special or Probationary Appointment before the End of the Specified Term of Appointment Policy (Section 5.6 of the Faculty Handbook).

(1.3) Procedures

Comprehensive post-tenure performance reviews will be conducted according to the performance standards established by each college. The post-tenure performance review must be conducted every six years by a post-tenure performance review committee. A faculty member may choose to undergo the post-tenure performance review process earlier than every six years. If the Dean perceives that the faculty member's performance according to college standards is "unsatisfactory", then the Dean shall initiate the post-tenure performance review process.

(1.3.1) Unsatisfactory Performance

A finding of "unsatisfactory" performance on the post-tenure performance review in the area of teaching or "unsatisfactory" performance in the areas of both research and service will result in a tenured faculty member's being rated "unsatisfactory." "Unsatisfactory" performance is the equivalent of "incompetency" or "continuing or repeated substantial neglect of professional responsibilities" as contained in Section 51.942 of the Texas Education Code.

(1.3.2) Peer Review of Post-Tenure Performance for Faculty

An elected college first stage post-tenure performance review committee(s) of tenured faculty must review 1) all faculty with due dates in any particular year; 2) all faculty choosing to undergo post-tenure performance review; and 3) those faculty members required by the Dean to have post-tenure performance review. Such committee will review the last six years of annual evaluations and any other materials deemed appropriate by college policy. If this first stage committee considers the faculty member not to be at risk, then the faculty member's review is complete and the faculty member is not required to undergo post-tenure performance review for another six years. Those faculty deemed to be potentially at risk by such committee will then have a second stage post-tenure performance review committee which can be determined in one of two ways by the faculty member:

1. the post-tenure performance review committee can be set up in the same manner as a tenure committee in the college; or
2. a seven-member committee can be established. Four of the members are chosen based upon the procedures for selecting faculty members for the tenure committee in the college and one faculty member elected from each of the other three colleges. The committee will weigh the faculty member's contributions to the discipline, the program, the college, and the university through teaching, research, and service as compared to the standard adopted and applied by the college. The committee will prepare a summary of its determination of "satisfactory" or "unsatisfactory" performance. The post-tenure performance review process may result in one of the following recommendations/findings:
 1. Certification of satisfactory performance;
The second stage post-tenure performance review committee may conclude that the faculty member's competence and/or professional contributions meet the college's standards for satisfactory performance. The review is then complete. The faculty member is not required to undergo post-tenure performance review for another six years.
 2. Certification of unsatisfactory performance;
The second stage post-tenure performance review committee may concur that the faculty member's competence and/or professional contributions are unsatisfactory to meet the college's standards. If after careful review the Senior Vice President and Provost does not agree with the recommendation of unsatisfactory performance by the committee, then the review is complete by the committee and the faculty member is not required to undergo another post-tenure performance review for another six years. The final decision regarding the faculty member's performance is the responsibility of the Senior Vice President and Provost.

(1.3.3) Faculty Development Plan

If the Senior Vice President and Provost sustains the recommendation of unsatisfactory performance, the second stage post-tenure performance review committee alone will create a professional development plan after consultation with the faculty member and the Dean. The committee shall specify, in writing, the deficiencies it has noted, specific goals and measurable outcomes the faculty member must achieve, resources recommended, and a timeline for meeting the goals. The length of the faculty development plan is from one to three years to be determined by the second stage post-tenure performance review committee. The plan will be forwarded to the Dean for review and submission to the Senior Vice President and Provost, whose signature signifies approval. Upon approval, the plan goes into effect. The

Dean (or Dean's designee) will meet with the faculty member at least twice annually to review the individual's progress. The Dean will prepare a summary report following each meeting.

Additionally, at the end of each year, the second stage post-tenure performance review committee has to review the faculty member's progress and make one of the following three findings:

- a. Satisfactory completion of the plan. This finding will be accompanied by a recommendation that the faculty member is performing at least at a “satisfactory” level. The faculty member is not required to undergo another post-tenure performance review for another six years.
- b. Satisfactory progress in meeting the goals of the professional development plan. This finding will be accompanied by a recommendation to continue the professional development plan.
- c. Unsatisfactory progress in meeting the goals of the professional development plan. This finding will be accompanied by a recommendation of revocation of tenure or other appropriate disciplinary actions.

(1.3.4) Due Process and Grievance Procedures

Before a faculty member may be subject to any disciplinary action on the basis of performance evaluations, notice of specific charges and an opportunity for a hearing on those charges must be provided in accordance with the Faculty Grievance Policy and Procedure (Section 9.0 of the Faculty Handbook). A faculty member subject to revocation of academic tenure on the basis of performance evaluations also has the opportunity for referral of the matter to a nonbinding alternative dispute resolution process as described in Chapter 154, Civil Practice and Remedies Code. If both parties agree, another type of alternative dispute resolution method may be elected. This policy does not supersede the rights of the faculty member articulated in the University of Houston- Clear Lake Faculty Handbook.

Policies Related to Faculty Dismissal (for Cause and Financial Exigency)

DISMISSAL OF FACULTY MEMBERS WITH TENURE AND SPECIAL OR PROBATIONARY APPOINTMENT BEFORE THE END OF THE SPECIFIED TERM OF APPOINTMENT

Policy 5.6

Approved 1984

(1.0) Purpose

The following procedures for due process must be applied not only to faculty members with tenure and probationary faculty members but to any faculty member terminated during an unexpired term of appointment.

(2.0) Cause

Adequate cause for the dismissal of a faculty member includes, but is not limited to, the following:

(2.1) Serious professional or personal misconduct, examples of which are:

(2.2.1) moral turpitude - conduct generally accepted as immoral that would cause general condemnation of the person involved. Examples include, but are not limited to: dishonesty, conviction of a major illegal act, and sexual harassment.

(2.2.2) misuse or misappropriation of University property, University funds, or funds held by a faculty member as part of his/her official duties.

(2.2) Demonstrated neglect of professional duties.

(2.3) Demonstrated professional incompetence or dishonesty in teaching or research.

(2.4) Mental or physical disablement of a continuing nature adversely affecting to a material and substantial degree the performance of duties, or the meeting of responsibilities to the institution or to students and associates.

(2.5) Bona fide financial exigency as defined below.

(2.6) Bona fide phasing out of University programs requiring reduction of faculty.

(3.0) Dismissal of a Faculty Member with Tenure

Dismissal of a faculty member with tenure or a probationary faculty member whose specified term of employment has not expired will follow the grievance policy and procedures outlined in Section 9.1.

UNIVERSITY OF HOUSTON SYSTEM ACADEMIC PERSONNEL POLICIES

SAM Policy 06.A.09

Approved 1984

Revised and Approved March 27, 2018

Link to Policy: <https://uhsystem.edu/compliance-ethics/docs/sam/06/6a9.pdf>

Approved 1984

Revised and approved 2011

(1.0) Definition of Financial Exigency

For the purposes of this policy, a financial exigency is a 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. 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. These financial problems may be due to a budget shortfall, a lack of enrollment or an increase in overhead expenses. The definition of financial exigency also embodies its primary consequence, the authority to dismiss tenured and tenure-track faculty which may be due to the cancellation of a program. This is a drastic step that should be taken only after all reasonable alternatives (See section E) have been exhausted. The declaration of an exigency requires that the dismissal of tenured and tenure-track faculty is likely, even if such dismissals are not imminent.

(2.0) Consultation Prior to Declaration of Exigency.

When the University of Houston–Clear Lake (UHCL) President believes a *bona fide* financial exigency exists, he/she shall convene with the Faculty Senate in one meeting at least 30 days prior to a Board of Regents meeting. One intention of this meeting is to investigate the root causes of the financial exigency. The request for a meeting shall be accompanied by written supporting documentation, including detailed financial data. The Faculty Senate, in accordance with its bylaws, will in turn, provide advice and consultation to the UHCL President about the declaration of an exigency. Disagreements should be noted by the Faculty Senate, and the Faculty Senate President will present the position of the Faculty Senate to the UHCL President.

(3.0) 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 UHCL President and the Faculty Senate President. The declaration of an exigency requires the affirmative vote of the Board according to procedures established in its bylaws.

(4) Consultation during Exigency.

After the declaration of an exigency, major steps for dealing with the financial crisis will be reviewed jointly by the UHCL President and the Faculty Senate. Proposals to terminate or significantly alter academic programs shall be submitted for consideration to the Faculty Senate by the UHCL President.

(5.0) Consideration of Less Drastic Alternatives Prior to Termination of Faculty.

Prior to issuing notices of dismissal to tenured and tenure track faculty or canceling academic programs, the UHCL President shall thoroughly explore all reasonable alternatives including, but not limited to, the following:

- a. Reducing Budgets
- b. An early retirement program
- c. Voluntary leaves of absence, voluntary reduction in salary or reassignment to part-time employment.
- d. Temporary adjustment in workload including the reduction of summer course offerings.
- e. Transfer of faculty to other positions for which they are qualified at the University of Houston-Clear Lake. This may include, but is not limited to, faculty teaching courses in other programs.
- f. Reduction or postponement of nonacademic expenses.
- g. Sale of assets and other means to increase revenue.
- h. Increased charges, e.g., facilities rental fees, to at least cover expenses.
- i. Elimination of administration and/or staff positions.
- j. Reduction in Administrative, Faculty, and/or Staff salaries.

(6.0) Plan for Retrenchment.

A retrenchment plan must be approved by the Board of Regents before actions are taken pursuant to a declaration of financial exigency. Prior to the approval of a plan, or the amendment of an existing plan, the Board must meet in open session to consider the positions of the UHCL President and the Faculty Senate. Termination of faculty appointments or major changes in academic programs must conform to the principles established in the exigency plan, as well as the provisions of this document. Only in extraordinary circumstances may the plan provide for the termination of tenured faculty in one program and the retention of untenured faculty in another program in which tenured faculty are qualified to teach. Academic considerations, to be determined in consultation with the Faculty Senate, will be primary in making program and personnel decisions. No administrative, staff, or academic areas of the University will be considered exempt from the effects of an impending financial crisis. During the formation of a retrenchment plan, issues regarding recovery will be considered and included.

(7.0) Order of Termination.

Except in extraordinary circumstances where a distortion of an academic program would otherwise result, non-tenure track faculty within a program shall be terminated before any tenure-track faculty are terminated, and any untenured faculty within a program shall be terminated before any tenured faculty are terminated. Where consistent with the academic needs of the university, preference shall be given to tenured faculty of higher rank, and to more senior faculty within the same rank. All applicable federal and state laws, including non-discrimination laws, shall be observed when making termination decisions under this policy.

(8.0) Termination Notice and Procedure. Termination of tenured faculty and tenure-track faculty with at least eighteen months probationary service requires notice of at least twelve months. Tenure-track faculty in the first year of probationary service will be given notice of termination at least three months before the end of the academic year. Tenure-track faculty in the second year of probationary service must be given notice of termination at least six months before the end of the academic year. Recommendations for the dismissal of tenured and tenure-track faculty are initiated by the President in consultation with the Faculty Senate. The final decision is made by the Chancellor of the University of Houston System, with the concurrence of the Board of Regents. In all cases the administration shall exercise due diligence to ensure that actions taken to give notice of termination conform to all applicable state and federal laws. After receiving notice of termination and prior to the actual termination of employment, a faculty member may choose retirement, if eligible.

(9.0) 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 a designated faculty body. The designated faculty body will consist of at least five faculty members, all from the Council of Professors. One member will be named by the faculty member; a second faculty member will be named by the UHCL President. Within ten working days, these two representatives shall select, in any manner they agree upon, the other three committee members from the Council of Professors. If the representatives cannot agree on the choice of the other members of the committee within the time allotted after their selection as representatives, the President of the Faculty Senate will select the remaining members of the committee, within an additional ten working days. Among the issues to be considered by the review committee are:

- a. Disagreements concerning the existence and extent of a *bona fide* financial exigency.
- b. Adherence to the plan for retrenchment.
- c. Compliance with procedural requirements.
- d. Improper motives related to academic freedom, race, national origin, religion, age, handicap, veteran's status, gender, or sexual orientation in the dismissal of a faculty member.

The burden of proof in dismissal proceedings rests with the university. The findings of the Faculty Senate regarding the existence of a financial exigency may be introduced in review proceedings. The review committee shall forward a recommendation to both the UHCL President and the affected faculty member.

(10.0) Policies Related to Financial Exigency. The following policies will be followed with regard to tenured and tenure-track faculty dismissed due to financial exigency.

- a. Job placement services will be provided free of charge.
- b. Eligibility to participate in state premium sharing and group insurance programs sponsored by the university will continue at least until the end of the notice period. Eligibility for 18 months of additional coverage is available through Consolidated Omnibus Budget Reconciliation Act

(COBRA) without premium sharing. The individual will pay the full cost for the COBRA coverage

- c. From the time notice is given until the termination of assigned duties, terminated faculty members are entitled to enroll in courses for credit without payment of tuition or fees, provided that the faculty can (1) meet fundamental job obligations and (2) meet the requirements for admission to the course or UHCL program.
- d. If faculty positions terminated in a *bona fide* financial exigency become available again, irrespective of rank, within two years of such termination or two years after the termination of the exigency, whichever is longer, the university shall first offer those positions to qualified tenured faculty members terminated under the financial exigency. The offer will be a tenured position at the same rank as previously held. The university is obligated to make an offer only one time to that faculty member. New academic, staff and administrative appointments will not be made while a financial exigency is in effect, unless a disruption in the academic program would otherwise result.

Policies Related to Faculty Compensation

GUIDELINES FOR OFF-CAMPUS TEACHING COMPENSATION

Policy 6.6A

Approved by University Council May 8, 1997

Revised and approved by University Council April 2010

(1.0) Purpose and Scope

The purpose of this policy is to describe guidelines for compensation for full-time faculty teaching off-campus.

(2.0) Definitions

Off-campus Course - an off-campus course is one taught in a location not on the UHCL campus and where the Instructor does not have a personal assigned office.

(3.0) Policy Statement

The faculty and administration of the University of Houston-Clear Lake adhere to the following guidelines to ensure delivery of the highest quality instruction.

Off-Campus Instruction Stipend - the semester stipend for off-campus instruction is applicable to off-campus courses taught in a given semester and is based on the distance of the instructional site from the location of the person's assigned office. The stipend is based on the number of trips per semester and the trip rate will be revised each fiscal year to reflect the change in the IRS employment travel rate.

GUIDELINES FOR FULL-TIME OVERLOAD

Policy 6.6B

Approved by University Council May 8, 1997

Revised and approved by University Council April 2010

(1.0) Purpose and Scope

The purpose of this policy is to describe guidelines for full-time faculty teaching an overload.

(2.0) Definitions

Overload - An overload is defined as teaching more courses than required under the workload policy for faculty.

(3.0) Policy Statement

The faculty and administration of the University of Houston-Clear Lake adhere to the following guidelines to ensure delivery of the highest quality instruction.

(4.0) Responsibility for Administration of Policy

The deans of the colleges, in collaboration with their respective associate deans, are responsible for implementing procedures to ensure adherence to these guidelines. The deans may deviate from the recommended compensation guidelines when agreed to by the faculty involved.

(5.0) Overload Compensation

The recommended compensation for teaching overloads on either a contractual or non-contractual basis is 1/8 of the full-time faculty member's 9-month salary per three credit hour plus any stipend for off-campus instruction.

SUMMER PAY POLICY

Policy 6.10/ FSEC.2001.007

Approved by University Council May 4, 2001

Approved by University Council May 9, 2019

I Purpose

University of Houston-Clear Lake ("UHCL") faculty members on 9-month appointments may be offered the opportunity to perform additional work during the summer months. The purpose of this policy is to outline the university guidelines regarding pay for summer assignments.

II Definitions

- A. State Longevity Pay - Additional pay of \$4 per month for each year of state service up to and including 40 years of service. Regular, full time (1.0 FTE), nonacademic employees are eligible to receive longevity pay after five years of state service and will receive longevity pay increases after each additional five years of state service.
- B. Personnel Action Request (PAR) Form - The University of Houston System ("UHS") payroll/personnel form used to place new employees in the HRS payroll/personnel system and/or make certain changes to existing employees' assignment
- C. Turn-a-round PAR - Computer generated personnel action request form. All fields are populated by data in the HRS 2.4 payroll/personnel system.
- D. Personnel/Position Request (PPR) Form - A UHCL form used to create new positions, reclassify existing positions, and identify vacant positions that require posting and search procedures.
- E. Full Time Equivalent (FTE) - For purposes of this policy, FTE means the number of course equivalents to be considered a full load in the summer.
- F. Summer Session - The academic time period between the end of the spring semester and the start of the fall semester.

III Policy

- A. Faculty and research personnel on 9-month appointments may be offered the opportunity to perform teaching and/or research during the summer semesters, depending on student enrollment, course requirements, and funding for teaching and research activities. Teaching includes advising of students during the summer session.
- B. A faculty member who performs non-academic work during the summer on a full time (1.0 FTE) basis and is paid from non-teaching funds will receive longevity pay for each month worked during the summer.
 - 1. The amount of longevity pay is based on total state service.
 - 2. Each employee is responsible for notifying the Office of Human Resources of prior state service at the time of employment.
 - 3. Credit for prior state service requires written verification from the previous employing state institutions or agencies.

C. Faculty on nine-month appointments who teach during the summer semesters receive additional compensation. The amount of additional compensation a faculty member may receive typically is related to how many courses are taught and the previous 9-month salary.

D. The salary equivalents and percent effort used to calculate summer teaching salaries is listed below. Summer pay is subject to student enrollment as stated in 3.D.1 and 3.D.2.

- a. One 3 credit-hour course equals 1/11 of the 9-month salary.
- b. Two 3 credit-hour courses equal 2/11 of the 9-month salary.
- c. Three 3 credit-hour courses equal 3/11 of the 9-month salary.

1. Required enrollments for summer courses are to be 10 undergraduate or 5 graduate students. Under circumstances directly related to student success, discretion is given to the Dean of the college or the Provost to allow for the offering of low enrollment courses. However, these special circumstances should not have a significant effect on the financial stability of the college's summer semester and must be paid at the 1/11th level.

2. In courses cross-listed at the undergraduate and graduate level and treated as a single course in terms of pay, minimum enrollment numbers will be created using an equation where each graduate student will be calculated as two undergraduate students.

E. New faculty members who are asked to teach in the summer semesters just prior to their regular academic appointment on September 1st are normally considered as part-time, temporary employees without benefits during the summer semesters.

F. The Office of Human Resources is responsible for providing timely instructions for the accurate processing of summer payrolls.

1. Summer Pay Procedures

2. Purpose

3. To provide 9-month faculty members with information regarding pay for additional summer teaching and research assignments.

4. To provide support staff with the proper procedures for processing additional pay for summer teaching and research assignments.

5. Summer Teaching and/or Research Positions

6. Summer teaching and research positions roll from one fiscal year to the next.

7. A Personnel/Position Request (PPR) form is not required unless you need to create a new summer teaching or research position.

8. Positions must exist before a Personnel Action Request (PAR) form can be processed.

9. Only four (4) job class codes/titles are used for summer teaching and research assignments.

- a. 1930/Benefits Eligible Summer Teaching Faculty
- b. 1931/ Non-Benefits Eligible Summer Teaching Faculty
- c. 3057/Benefits Eligible Summer Research Faculty
- d. 3058/Non-Benefits Eligible Summer Research Faculty

G. Summer Teaching and/or Research Assignments

- H. A PAR must be prepared to place each employee on payroll for summer teaching and research assignments.
 - I. All assignments may be indicated on the same PAR.
 - J. Separate assignments should be created for each individual summer session except in the case of duplicate assignments.
- IV If a duplicate assignment would exist, create one assignment and adjust the FTE to cover all classes.
- A. A turn-a-round PAR should be used for all existing employees and a blank PAR form should be used for "new hires".
 - B. A combination of the two forms should be used when the turn-a-round PAR does not have sufficient blank assignment lines to cover all summer assignments.
 - C. The PAR routing sequence for summer assignments is the same as for any regular session.
 - D. PAR forms reflecting summer research assignments (paid from Ledger 5 accounts) must be forwarded to the Office of Research Administration for approval prior to obtaining approval from the Office of the Senior Vice President/Provost, and routing to the Office of Human Resources for processing.
 - E. PAR forms reflecting summer teaching and/or research assignments must be approved in the Office of the Senior Vice President/Provost before routing to the Office of Human Resources for processing in the automated payroll system.
 - F. The PAR due dates for summer teaching and/or research assignments are published in April of each fiscal year.
 - G. PARs with a June 1st or June 16th assignment begin date are due in late May.
 - H. PARs with a July 1st assignment begin date are due in late June.
 - I. PARs with an August 1st assignment begin date are due in late July.

UHCL POLICY FOR EXTRA COMPENSATION IN EXCESS OF BASE SALARY Policy 6.11/FSEC.2004.001

(1.0) Purpose

(1.1) This Policy establishes guidelines for the total allowable compensation paid to faculty and staff from university-controlled funds to ensure compliance with state and federal regulations, with particular consideration given to OMB Circular A21, University of Houston Regents, UHS System and UHCL policies.

(2.0) Existing Policies and Regulations

(2.1) Existing External Policies and Regulations - The first priority of employees of the University of Houston-Clear Lake is the accomplishment of the duties and responsibilities assigned to their position of employment within the University of Houston System (SAM 02.A08). UH Board of Regents Policy, Paragraph 21.05, "Faculty Workload," reads as follows: "Each component university, in compliance with state law, shall adopt and maintain faculty academic workload rules and regulations directed toward attaining the greatest educational benefit from the expenditure of public funds. All such rules and regulations must be approved by the chancellor or his or her designee and adopted by the board." "The faculty academic workload rules and regulations shall be reported to the Texas Higher Education

Coordinating Board and included in the operating budgets and faculty handbooks of each component university.(04/15/99)" Federal OMB Circular A21 specifies that "charges for work performed on sponsored agreements by faculty members during the academic year will be based on the individual faculty member's regular compensation for the continuous period which, under the policy of the institution concerned, constitutes ... salary basis" (OMB Circular A-21, J.10.d.(1)). Charges for work performed on sponsored agreements during the summer months or other period not included in the base salary period (academic year) will be determined at a rate not in excess of the base salary, divided by the period of nine months (OMB Circular A-21, J.10.d.(1)).

(2.2) Existing Internal Policies and Regulations - UHCL Policy 6.1, "Workload Policy for Faculty", specifies that normal workload for full-time tenure track faculty members equals nine (9) semester credit hours per long semester in the academic year. Mentoring, advising, curriculum development, service and research/scholarly/creative activities that are beyond the normal nine-hour teaching load shall be counted as the equivalent of three semester credit hours. The deans of each College have authority to assign duties.

(3.0) Additional Compensation Policy for Faculty

It is the policy of the University of Houston – Clear Lake not to provide additional compensation over and above 100%FTE to faculty except in unusual circumstances. However, there are sometimes special and extenuating circumstances outside normal duties for which additional compensation may be justified. This document describes the parameters within which additional compensation may be provided to these faculty members. Additional compensation may be granted only with advance approval.

(3.1) Additional Compensation:

Faculty who work on special projects outside their normal duties may receive additional compensation as follows:

(A) Teaching regularly scheduled academic classes, including off-campus and web-based distance education courses, as an overload assignment during the academic year or during the summer.

(B) Teaching and/or coordinating contract or continuing education (non-credit) courses (including short courses, seminars, workshops, and conferences) scheduled at departmental, college or university level.

Additional compensation includes compensation from any university account. Research grants funded by external agencies are thus included in the term additional compensation. Additional compensation to be paid from contract or grant accounts must have prior approval from the sponsoring agency before institutional approval can be given.

(3.2) Amount of Additional Compensation:

With prior approval of the appropriate dean and the Provost, faculty on nine-month contracts may receive additional compensation beyond their contract level. An equivalent of three months for those on nine-month contracts may be received in additional compensation if properly approved prior to the activity or activities. Please note that this amount will be reduced by any teaching or regular summer assignment pay. Regular summer assignments do not require approval. With prior approval of the appropriate dean and the Provost, faculty who have received the equivalent of their twelve-month salary in total university compensation, and faculty and staff on twelve-month contracts, may receive additional compensation beyond the level specified in the paragraph above. Any additional compensation so received in both instances cannot exceed \$15,000 or 20% of the twelve-month salary, whichever is greater, in a fiscal year.

(4.0) Process

Process for Approval of Additional Compensation - Approval for additional compensation will be documented on the Personnel Action Request (PAR) and routed through the appropriate approval channels to the Office of Human Resources.

- (A) This policy covers any administrative position in Academic Affairs, other than those of Senior Vice President for Academic Affairs and Provost, Dean, and Associate Vice President, held by anyone having faculty rank. The dean in whose college the position resides and the Senior Vice President for Academic Affairs and Provost, or the Senior Vice President for Academic Affairs and Provost and for those positions that report directly to the Senior Vice President and Provost, shall designate whether a particular position is for the academic year, or for 10 months, 11 months, or fiscal year as well as the teaching load for that position. The determination of the pay period for the position should be based on a realistic assessment of the workload of that position.
- (B) A stipend, approved by the dean in whose college the position resides and the Senior Vice President for Academic Affairs and Provost, or by the Senior Vice President for Academic Affairs and Provost and the President for those positions that report directly to the Senior Vice President for Academic Affairs and Provost, will attach to any administrative position in Academic Affairs, other than those of Senior Vice President for Academic Affairs and Provost, Dean and Associate Vice President held by anyone having faculty rank. Stipends will be provided to Associate Deans, and Division Chairs. They may, with the approval of the Senior Vice President for Academic Affairs and Provost, and the Deans if the administrative position reports to a Dean, be provided to others, such as Center Directors, to recognize the market or unusual responsibilities that are not recompensed through released time, summer salary, or means other than a stipend. This stipend is in addition to any regular salary the administrator draws during the summer; however, the summer salary may be held to be adequate compensation in itself for the administrative services rendered.
- (C) The stipend will attach to the position and will remain with the position should the faculty member who holds the position relinquish it. Generally, the stipend should reflect the market for positions of the type with which it is associated and the scope of responsibility of the position. The stipend, however, is intended only to recognize the additional responsibilities the faculty will carry as an administrator and is not intended as a means of remedying perceived inequities in faculty salaries.
- (D) For unusual and well-documented reasons, those who must initially approve a stipend may authorize an adjustment, either up or down, in an individual stipend. Should the person receiving the unusual adjustment relinquish his/her post, then the stipend will revert to its former level.
- (E) All administrative stipends will be reviewed every three years, or at the discretion of the President or Senior Vice President for Academic Affairs and Provost.
- (F) An administrator returning to a faculty position will be reviewed for a faculty increment according to then current procedures, said increment to become effective the following academic year.
- (G) Any additional increment beyond the normal faculty increment for an administrator returning to the faculty must be approved by the Senior Vice President for Academic Affairs and Provost and the President, and may be granted only under unusual and well-documented circumstances to prevent injustice or to prevent the faculty member from leaving UHCL. An example of such an injustice that requires a remedy is when the administrator's salary on return to the faculty is lower than if he or she had never served in the administrative position.
- (H) Notwithstanding the above, any administrative officer in Academic Affairs at any level in an acting or interim position, including that of Senior Vice President for Academic Affairs and Provost,

will be recompensed for his or her additional duties with a stipend, rather than an increase to base salary, so long as the assignment remains acting or interim.

(I) All members of the faculty who serve on 12-month administrative appointments in positions at or above the level of Dean or its equivalent for a period of at least one year shall return at the conclusion of the administrative assignment to their respective faculty ranks on a nine-month academic appointment with the salary base prorated as 75 percent on the 12-month salary last held as an administrative officer. This does not include persons serving in acting positions.

FACULTY MERIT RAISE INCREMENTS

Policy 6.8

From Faculty Handbook Approved June 1988

(1.0) Faculty are eligible for salary increments on an annual basis subject to the availability of funds as appropriated by the Texas Legislature. Increments are awarded on the basis of merit as determined in the annual performance evaluation of each faculty member. Faculty are evaluated in all three primary areas of faculty activity: teaching and educational activities; research, scholarly and artistic activities; and professional activities and service. The policy and criteria applied in the evaluation process are noted under Section 5.1 Annual Faculty Review Policy.

Policies Related to Faculty Recognition and Awards

FACULTY DEVELOPMENT LEAVE

Policy 7.10

Previously Reviewed and Approved by University Council, May 14, 2015

Reviewed and Amended by Faculty Life, March 30, 2020

Reviewed and Unanimously Approved by Faculty Senate, April 01, 2020

Reviewed and Approved 11/11/2021

I. POLICY STATEMENTS

A. The Texas Legislature has established a program of faculty development leave (FDL) “to improve further the higher education available to the [students] at the state-supported colleges and universities and to establish this program of faculty development leaves as part of the plan of compensation for the faculty of these colleges and universities” (see V.T.C.A. Education Code, Chapter 51, Subchapter C). The Texas Legislature has not, however, funded a faculty development leave program.

B. In the absence of state-funded FDL, the University of Houston – Clear Lake will regulate and administer its own FDL program in accordance with state law and the availability of funding.

C. Faculty development leave is intended to enable faculty to accomplish work not possible at the home institution or concurrent with normal duties. Examples of such work include but are not limited to:

1. completing or advancing a research project to the point of submission and publication in scholarly journals;
2. completing a scholarly book;
3. conducting laboratory or field research, documentary, or study at a remote location;
4. completing creative activities comparable to exhibition or performance;
5. writing or submitting a substantial grant proposal for external funding;
6. organizing an academic conference; and
7. other scholarly activity of comparable importance.

II. ELIGIBILITY

- A. All full-time faculty members at the University of Houston – Clear Lake with at least three academic years of service are eligible to apply for a FDL for either one academic year at one-half salary or for one long semester at regular salary. Although eligible to apply, tenure-track faculty are not expected to apply for FDL to meet their tenure requirements.
- B. A full-time faculty member becomes eligible for an additional FDL after completion of three years of academic service following the end of the previous FDL.
- C. As stated in the enabling legislation, faculty may request development leave to engage in study, research, writing, and similar projects for the purpose of adding to the knowledge available to the applicant, the institution, its students, and society in general. Development leave is not available to support completion of an advanced degree.
- D. Faculty Development Leaves are not an entitlement. They are awarded on a competitive basis and will go to those faculty who, in the judgement of their college committee, Dean, and the Senior Vice President for Academic Affairs and Provost demonstrate the greatest potential for scholarly accomplishment and professional development during the period of the leave. Major criteria which affect the determination for granting a leave are the applicant’s previous accomplishments, outcomes from any previous FDL, the quality of the proposal submitted, and

the potential contributions the completion of the proposal would make to the faculty member's professional development as well as to the mission and programs of the applicant's college.

III. PROCEDURES FOR APPLICATION and SELECTION

- A. Each college will establish a Faculty Development Leave Committee and application criteria. The manner of selection and the size of committee will be left to the discretion of the faculty of the individual college.
- B. By September 15 of the year prior to the academic year in which leaves are being considered, the Provost's office will announce the number of funded development leaves in each college. By state law, the total number may not exceed six percent of the full-time faculty employed by the university. The number allocated to each college should be proportional over time to the number of full-time faculty in each college, with each college receiving at least one per academic year.
- C. By October 15 of the year prior to the leave the applicant will submit an application to their respective college's FDL Committee. The application should indicate the semester of leave desired, or the full year, as applicable.
- D. Each college's Faculty Development Leave Committee will review each development leave proposal and evaluate each on the basis of the applicant's previous accomplishments (in teaching, research and service; since last FDL if applicable), outcomes from any previous FDL, the quality of the proposal submitted, and the potential contributions the completion of the proposal would make to the faculty member's professional development as well as to the mission and programs of the applicant's college. Other criteria can be applied by the committee, as agreed upon by the college.
 1. Preference should go to any faculty member who was awarded FDL by the Provost's office the previous year, but was unable to use the FDL due to extenuating circumstances.

The rank of an approved, but not awarded, application from a previous year should not affect the evaluation of a new proposal by a candidate, even if the candidate submits the same proposal application. Each year's pool is a new pool.
 2. If two proposals are otherwise equivalent on their merits, preference should go to the faculty member with the longest period of time since last receiving FDL, or who has not previously received one.
- E. By November 15, each college's FDL Committee will advance to their respective Dean a set of approved and ranked proposals. To allow for substitutions, it is recommended the committee advance all approved proposals in their ranked list, even if that number is more than the maximum number being funded.
- F. The Dean of each college may nominate up to the maximum number of funded proposals and shall forward those nominations to the Senior Vice President and Provost by December 15 and notify the nominee and the nominees' department chairs to give them sufficient notice for planning. It is the responsibility of the College to find replacement instructors, as needed. If for some reason a proposal nominated by the Dean is unable to be granted, another proposal may be forwarded by the Dean as a substitute, based on the ranked list forwarded by the committee.
- G. The Provost shall inform the colleges of final awards by February 1.

IV. CONDITIONS OF THE PROGRAM

- A. A faculty member may have a development leave for one academic year at one-half of regular salary, or for one semester at full salary. An academic year is defined as the nine-month regular session, as no leaves are authorized during summer sessions.
- B. A faculty member will sign an agreement to serve two long semesters with the university after completion of the leave. Included in the agreement will be a clause requiring the faculty member to reimburse the university in the amount received as salary and fringe benefits from the state while on leave if they should fail to fulfill the year of service after the leave. Death or permanent disability attested to by a medical doctor will constitute reason for exemption.
- C. Faculty members on development leave have no other teaching, service, or research assignments, but are expected to make provisions for supervising their students engaged in thesis, dissertation, or related work during the leave. The leave is designed to give the faculty member time and control to achieve the goals outlined in the development leave application.
- D. A faculty member on development leave will retain the right to and eligibility for benefits, programs, and all other rights of a faculty member.
- E. A faculty member on development leave may accept a grant to cover costs for study, research, or travel from any institution of higher education or from a charitable, religious, or educational corporation or foundation; or from any federal, state, or local governmental agency. However, a faculty member on development leave may not accept employment from any other person, institution, corporation, or government, unless the UH System Board of Regents determines that it would be in the best public interest to do so and expressly approves the employment.

V. REVIEW AND RESPONSIBILITY

Responsible Parties: Academic Affairs and Faculty Senate
Review: Every 5 years

MINNIE STEVENS PIPER PROFESSOR AWARD

Policy 7.1 1

Revised and Approve February 2021

Each May, the Minnie Stevens Piper Foundation grants the Piper Professor Award to 10 Texas college or university professors in honor of their teaching excellence. Students and faculty at the University of Houston-Clear Lake have an opportunity during the fall semester to nominate an outstanding faculty member for this award.

I Procedures

Around mid-October, the Minnie Stevens Piper Foundation sends UHCL an invitation to nominate one eligible faculty member for the award along with information about the award process. Deadline for nominations is usually the middle of November.

A. Minnie Stevens Piper Professor Award Committee (Award Committee)

1. The Associate Vice President for Academic Affairs supervises the formation of an Award Committee to manage the nomination process. The Award Committee consists of one faculty member and one student from each college (eight members).
2. Faculty representatives: The prior year's UHCL Piper Award nominee serves as the representative for his/her college. For the three remaining colleges, the Associate Vice President for Academic Affairs asks the Faculty Senate Executive Committee to select representatives. The Faculty Senate Executive Committee confirms faculty members' availability and willingness to serve on the Award Committee before submitting their names to the Associate Vice President for Academic Affairs.
3. Student representatives: The Student Government Association selects one student representative from each college. To start the process, the Associate Vice President for Academic Affairs contacts the Student Life Office, which supervises the Student Government Association selection process.

II Eligibility

Faculty members with full teaching assignments are eligible for nomination. Faculty with release time and part-time faculty are eligible if they have generated at least as many credit hours as full-time faculty. Faculty members on leave are not eligible for nomination until they return to full-time teaching status. Members of the Award Committee are not eligible for nomination.

III Nominations

- A. Students and Faculty nominate faculty via the form found online. The deadline for each year's nominations is announced via the Student Government Association, the Faculty Senate, campus television monitors, the website, and the student newspaper. The Student Government Association coordinates a mass email to students, and the Faculty Senate Executive Committee coordinates a mass email to faculty.
- B. All nominations should be submitted electronically or to the Provost's office in Bayou 2525 by the annual deadline.

IV Nominee Selection Process

- A. The office of the Associate Vice President for Academic Affairs ranks nominations according to a score obtained using the following methodology: rank nominees by the total number of nominations received.
- B. Faculty members who earn the five highest scores are semi-finalists.
- C. The Associate Vice President for Academic Affairs notifies the semi-finalists and provides a UHCL Piper Semi-Finalist Form, which the semi-finalists complete and submit along with a current curriculum vitae to piperaward@uhcl.edu. The Semi-Finalist Form matches the information and character counts/space limits allowed by the Piper Foundation's nomination form.

D. The Associate Vice President for Academic Affairs notifies the Deans and Associate Deans of faculty members in their college who were nominated and/or selected as semi-finalists.

E. The Award Committee reviews and scores the semi-finalists' and designates one of the semi-finalists as the University's nominee for the Piper Professor Award. All Award Committee deliberations are confidential.

V Notification and Announcement

A. The Associate Vice President for Academic Affairs sends a congratulatory email to the semi-finalists and nominee regarding the committee's decision. The email also goes to the Deans, Associate Deans, Provost, President, and Marketing\Communications.

B. The Associate Vice President for Academic Affairs prepares a draft announcement for the university community and sends the draft to the Provost, the President, and Marketing\Communications for review. The announcement includes the name of the nominee and the reasons the Award Committee deemed that person an outstanding teacher. Any student quotes included in the announcement should specify major(s) and anticipated graduation date(s).

VI Nominee Submission to the Piper Foundation

A. The Associate Vice President for Academic Affairs sends the Piper Professor Nomination form link to the nominee. The nominee completes the form and submits it to the Associate Vice President for Academic Affairs along with up to five letters of recommendation from administrators, colleagues, and/or current and former students.

B. The Office of the Associate Vice President for Academic Affairs sends the Piper Foundation the original documents and retains a copy on file.

VII Process Conclusion

A. A celebration at the end of the process recognizes the semi-finalists, nominee, and the Award Committee members.

B. The nominee's name is added to the UHCL website with the names of previous nominees and award recipients. Should the nominee be selected by the Minnie Stevens Piper Foundation for a Piper Professor Award, the website will be updated to indicate the nominee received the award.

PRESIDENT'S DISTINGUISHED FACULTY AWARDS

Policy 7.12

From Faculty Handbook Approved June 1988

Each year outstanding achievements of UH-Clear Lake faculty are recognized in the areas of teaching, research and service. Specific guidelines are available in the President's Office. UH-Clear Lake Distinguished Teaching Award recognizes exemplary accomplishment in the craft of teaching, wherein the recipient is recognized as a master teacher by his or her peers. A master teacher is a model of substantive learning and rapport with students. The UH-Clear Lake Distinguished Research Award

recognizes professional accomplishment in a discipline or field through published work, exhibitions, or similar activity, as recognized by peers for high contribution to the intellectual growth of an academic area.

The UH-Clear Lake Distinguished Service Award recognizes singular accomplishments in professional service beyond that of colleagues either in extending University services to the Houston Metropolitan Area and Gulf Coastal Region, to professional organizations, to the University, or to a combination of these.

Policies Related to Academic Freedom and Standards of Conduct

ACADEMIC FREEDOM

Policy 8.1

From Faculty Handbook Approved June 1988

In recognition of the principle that a university of the first rank should have a clear statement of the privileges and responsibilities of its faculty under the right of academic freedom, the Board of Regents of the University of Houston System has adopted statement of its policy (21.03) relating to academic freedom.

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

(2.0) The faculty member is entitled to freedom in the classroom in discussing subject matter, but should be careful not to introduce into teaching controversial matter which has no direct relation to the subject.

(3.0) The college or university faculty member is a citizen, a member of a learned profession, and an officer of an educational institution. When teachers speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As people of learning and educational officers, teachers should remember that the public may judge the teaching profession and their institution by the teachers' utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not institutional spokespersons.

STANDARDS OF CONDUCT FOR THE ACADEMIC COMMUNITY

Policy 8.2

Approved 1980

The University expects that administrators, faculty and students will help to maintain on the campus a climate of reasoned discourse in which disputed issues are discussed freely and critically. By accepting membership in the University, an individual joins a community committed to free inquiry, intellectual honesty, respect for the dignity of others, and openness to constructive change. The rights and responsibilities exercised within this community must be compatible with these qualities. Members of the faculty, student body, and administration also have the responsibility to insist on the highest standards of integrity in the conduct of academic affairs. The integrity of the academic community is based upon the willing consent given by its members to the standards which guide its conduct. The University affirms the right of its members to organize and join political associations, to convene and conduct public meetings, to demonstrate publicly and picket in orderly fashion, and to advocate and publicize opinion by print, sign, and voice, as long as such activity does not violate public law. In return, it seeks from members of the community an affirmation of their continuing concern for the interests of the University as a whole. (UHCL, 1980)

LEGAL RESPONSIBILITIES OF FACULTY AND STAFF

Policy 8.3

From Faculty Handbook Approved June 1988

Members of the University community share the same responsibilities of citizenship as other members of the broader community in which we are located. Students, faculty, and staff members are all subject to the same laws and ordinances. The University does not stand between national, state, or local law enforcement agencies and persons who break the law. Persons who break the law on campus are subject to action by these agencies and also when appropriate, to the University's internal discipline procedures.

Policies Related to Academic Programs and Centers

UH-CLEAR LAKE POLICY ON PROGRAM REVIEWS

Policy 5.2/ EPCC.1998.005

Approved by University Council December 12, 1998

(1.0) Purpose

The University of Houston-Clear Lake has committed itself to an ongoing, cyclical, comprehensive, shared governance planning system. It is an integrated system in that each of its various components plays a special, unique role. Each is vital to the optimal operation of the whole. Program review is one of those components. As an integral part of the shared governance planning system, a program review derives particularly from the years of annual planning, data reports, and assessments since the last program review.

The purposes of the program review are:

- To improve program quality in the context of university and college missions, criteria for program approval by the state, national accreditation standards, guidelines put forth by academic organizations, and institutional resource needs and demands.
- To help a program examine itself in its entirety (its focus, its faculty, its curriculum, its students, and its resources and facilities) within a framework that includes its past development and its plans for its future.
- To provide the program with an impartial study of and response to the work presented in the Program Report by informed colleagues outside the program.

(2.0) Definitions

(2.1) Curriculum

A course of study which, for program reviews, is any degree, support area, concentration, teaching field, or certification offered by UHCL.

(2.2) Program

A program is any academic unit offering one or more curricula. It has initial responsibility for the quality of each curriculum involved, the faculty who offer the curriculum, the students in the curriculum, the resources and facilities supporting the curriculum, and the focus of the program in all dimensions of its operation.

(3.0) Policy Provisions

(3.1) Review Cycle

All programs will undergo review on a cycle defined by the Program Review Schedule (PRS) jointly agreed upon between the Deans and EPCC. Each curriculum in a college must be reviewed in a specific program in the PRS.

(3.2) Review Process

Each review will be developed by the program faculty, reviewed by EPCC, and submitted to the Provost with written comments.

(3.3) Completion

Each program review should normally be completed in 26 months. The process starts with the appointment of

the program report committee by the Dean and ends with the follow-up report a year after the interview with the Provost.

(4.0) Implementation

(4.1) Review Schedule

EPCC will utilize the current Program Review Schedule (PRS) to schedule reviews for each academic year.

(4.2) Guide

EPCC will provide a Guide for Program Reviews to assist the process. This guide will contain a standard time schedule, description of responsibilities for the various participants, and guidelines for content to be used by participants.

(4.3) Progress Reports

At the end of each academic year EPCC will provide the Senate and the Provost with a list of reviews completed in the preceding year, a list of reviews delinquent at that point, and a list of reviews starting at that point.

PROGRAM DISCONTINUANCE POLICY AND PROCEDURES

Policy 5.8/ EPCC.1997.001

Approved by University Council December 1996

(1.0) Purpose

This document defines policy and procedures for discontinuance of programs.

(1.1) The policy is based on four guiding principles. The decision to discontinue a program should:

be closely connected to program, college, and university mission and planning, occur only following careful and thorough discussion, be negotiated between program faculty and the academic college administrators immediately responsible to it, and be made using a clearly understood process with at least one place for each of the constituencies concerned to participate in the decisions necessary.

(2.0) Definition

For the purposes of this document, a "program" is defined as:

- any academic unit offering a degree.
- any support area, concentration, or certification program the discontinuance of which might require the termination of a tenure-track faculty member.

(3.0) Program Standards, Measures and Performance

(3.1) As part of the planning process and focused by their mission, all colleges should have ascertainable and measurable minimum performance standards for every program, graduate and undergraduate. These measurable minimum performance standards must meet, but may exceed, the minimum performance standards set by the Southern Association of Colleges and Schools and the Coordinating Board. These ascertainable and measurable minimum performance standards are negotiated between and agreed upon by faculty involved in the program and the appropriate academic administrators. They must be reviewed by the college's curriculum committee during the normal course of periodic program reviews.

(3.2) If agreement between program faculty and college administration on minimum performance standards proves impossible, the college faculty shall decide the appropriate method for establishing minimum performance standards.

(3.3) Whenever a program fails to meet its minimum performance standards and the program faculty or college administration note this failure in writing, within three months of this notification the program faculty and the appropriate academic administration must agree on specific performance targets which define what the program must accomplish to respond to the condition and an appropriate time frame. These targets could be previously established minimum levels of performance adopted by colleges, or they could be new levels of performance. The agreement could be to discontinue the program, to redefine it, or to merge it with another program. Whatever the decision, it must be put in writing.

(3.4) This agreement must specify the minimum level of support which the program can expect from the college faculty and administration. The provost must receive a copy of this agreement.

(3.5) If agreement between program faculty and college administration on specific performance targets proves impossible, the college faculty shall decide the appropriate method for establishing specific performance targets.

(4.0) Discontinuance of a Program Not Mandated by Financial Exigency

(4.1) Programs which may become candidates for discontinuance are:

(4.2.1) Any program whose full-time faculty agree that it should be discontinued or merged into another program; or

(4.2.2) Those programs which have failed to meet the agreed upon performance targets in the stated time frame; or

(4.2.3) Those programs which meet the agreed upon specific performance targets when exceptional circumstances are present.

(4.2.4) Exceptional circumstances must be documented by the college administration following discussion with the program faculty, the college faculty, and the provost. Thorough documentation of the exceptional circumstances and specific explanations of why alternatives to program discontinuance were either unavailable or inadequate must be included in the recommendation to discontinue which the college makes to the provost.

(5.0) Procedures for Program Discontinuance

Once a candidate for discontinuance has been identified:

- (5.1) The appropriate college curriculum committee must recommend the discontinuance.
- (5.2) A majority of the faculty of the college, as defined by the college's bylaws, must recommend discontinuance using procedures in the college's bylaws.
- (5.3) The Dean of the college must recommend discontinuance of the program to the Provost.
- (5.4) The Provost must forward a recommendation for discontinuance of the program to the Educational Policy and Courses Committee (EPCC). EPCC members will only determine if procedures have been properly followed.

Accompanying this recommendation shall be the following:

- (5.4.1) The rationale for discontinuance.
- (5.4.2) An explanation of the impact the discontinuance would have on other programs and evidence of consultation with any affected programs.
- (5.4.3) A description of the procedures followed in making the decision to discontinue and copies of all recommendations.
- (5.4.4) Recommended future date for denying new students to the program.
- (5.4.5) The plan, including a specific timeline, for phasing out the program, terminating degree authority, and allowing currently enrolled students to complete the program.
- (5.4.6) Specific and explicit procedures, including specific timelines, for dealing with each tenured and non-tenured faculty, and staff member, involved in the program. Careful consideration must be given to early retirement, voluntary leaves of absence, part-time employment, transfer to other positions within UHCL for which the individuals are qualified, and/or retraining for other positions.
- (5.4.7) The EPCC will send the proposal for discontinuance back to the college for failure to satisfy any of the above items 5.4.1 through 5.4.6.
- (5.4.8) The EPCC shall decide only whether the appropriate procedures, including those provided for in college written policies, have been correctly followed. If the appropriate procedures have been correctly followed EPCC must concur with the provost's recommendation and the recommendation shall proceed through the shared governance process outlined in the Constitution of the Faculty Senate.
- (5.4.8) The Faculty Senate shall decide only whether the appropriate procedures, including those provided for in college written policies, have been correctly followed.
- (5.4.9) If the discontinuance is approved by the President, the administration of the college shall begin phasing out the program. This operation shall proceed according to

the plans and timelines already developed and approved by the College, and submitted by the Provost, with his recommendation, to EPCC.

(5.4.10) Except in circumstances where a serious distortion of an academic program would otherwise result, non-tenure track faculty within a program shall be terminated before any tenure track faculty are terminated. Where consistent with the academic needs of the institution, preference will be given to tenured faculty of higher rank, and to more senior faculty within the same rank. Where consistent with the academic needs of the institution, preference will be given to seniority within any staff classification. Circumstances where a serious distortion of an academic program would result must be documented by college administration following discussion with the program faculty, the college faculty, and the provost. Thorough documentation of the circumstances and specific explanations of why alternatives were either unavailable or inadequate must be included in the recommendation to discontinue which the college makes to the provost.

When the decision to discontinue a program has been made by the President, tenure track faculty separation shall follow the guidelines in section 3.4 of the Faculty Handbook. Tenured faculty must be given notice of termination at least 12 months prior to the termination of that appointment (but not less than two long semesters following notice of termination). From the time notice is given until the termination of assigned duties, the university will provide full payment for tenured faculty to enroll in courses for credit at any university in the UH system provided they can: 1. Meet fundamental job obligations and, 2. meet the requirements for admission to the course or program.

(6.0) Provision for Tenured Faculty and Program Specific Staff Dismissed as a Result of this Policy

(6.1) For tenured faculty members and program specific staff who are dismissed as a result of the discontinuance, the university must provide the following services:

(6.2) The university is committed to provide limited support for job placement services.

(6.3) Continuation of participation in group insurance programs offered by the institution at least until the end of the appropriate notice period or eighteen months after performance of assigned duties, whichever comes later. The individual will pay full costs.

(6.4) For tenured faculty if, within three years of the individual's separation from the university under this policy, the position eliminated is again opened, the individual who held that job will be offered the position before anyone else is. Rehired individuals will assume the same seniority, including tenure, and job status as was previously held. For staff members terminated as a result of program discontinuance, the rehiring provision of the University Reduction in Force policy will apply.

(7.0) Discontinuance of a Program Because of Financial Exigency See: Faculty Handbook section 5.7 - Financial Exigency

CENTERS AND INSTITUTES POLICY

Approved March 14, 2022

I. INTRODUCTION

Centers and Institutes complement and further enhance the academic, research and service mission of the University of Houston-Clear Lake. This document sets forth the policies and procedures for establishing, operating, reviewing and terminating Centers and Institutes at UHCL.

II. GENERAL INFORMATION AND DEFINITIONS

University Centers and Institutes provide opportunities for faculty, staff, students and community members to engage in multi-disciplinary and interdisciplinary research, instructional and/or public service endeavors.

Even though the terms *Center* and *Institute* are used interchangeably, Institutes may be broader in scope and could contain smaller Centers within.

III. POLICY

- A. A Center or Institute is an organization that engages in scholarly activities (e.g., education, intellectual advancement, and/or research) which support the mission of the University.
- B. A Center or Institute may be identified primarily with one discipline, but can also be multidisciplinary. It can engage in a variety of activities providing opportunities for new interrelationships within the Colleges, the University, community or other educational institutions.
- C. A Center or Institute may be established at the College or University level, as approved by the President's Office.
- D. A Center or Institute may be supported by institutionally allocated funds or depend entirely on funding by outside agencies and foundations (all Centers or Institutes must include a business plan as part of their initial establishment proposal).
- E. All Centers or Institutes must have an Advisory Council that makes recommendations regarding programs or funding priorities, provides assistance with fundraising and general guidance on its functioning. The structure of the Advisory Council shall be outlined in the Center or Institute's proposal. The advisory council does not have financial, governing or hiring authority.
 1. Advisory Councils for University-level Centers or Institutes shall consist of at least one full-time faculty member from at least two Colleges. They may also include any number of additional faculty from associated disciplines, Programs, Departments or Colleges. Community members, alumni, staff and other relevant parties can be included.
 2. Advisory Councils for College-level Centers or Institutes shall consist of full-time faculty from associated disciplines, Programs or Departments. They may also include faculty from other Colleges, community members, alumni, and other relevant parties.
- F. The approval process of a Center or Institute requires that it proceed through the shared governance process and final approval rests with the President of UHCL or their designee. The agreement between a Center or Institute and the President (or their designee) must be in writing and must provide that the President (or their designee) approves of the creation, existence and purposes of the Center or Institute. It must include at least the following:

1. That the Center or Institute may not duplicate the activities of any Department, Program, Center, Institute, or related unit of a component University within the University of Houston System.
2. That the Center or Institute is subject to all policies and procedures of UHCL, the Board of Regents, and UH System Administration, and must submit to reporting and auditing requirements as established by UHCL and/or UH System.
3. That the Center or Institute may not conduct activities that do not, in their entirety, support the mission of the University of Houston-Clear Lake.
4. That the Center or Institute will submit an annual report with updated contact information for its Director and Members by January 15 to the Office of the Senior Vice President for Academic Affairs and Provost. College-level Centers or Institutes will submit an annual report to the respective Dean.
5. That every fifth year the Center or Institute will submit a cumulative report on the effectiveness of the Center or Institute in fulfilling its mission. The charter will not automatically renew, but instead will be renewed based upon performance according to the five-year report. As part of the report, the Center or Institute will submit a business plan and analysis relating planned pursuits to actual results.

G. The Senior Vice President for Academic Affairs and Provost will maintain a list of recognized Centers and Institutes.

IV. PROCEDURES

A. To establish a new Center or Institute, a University member or team should develop a proposal that will include a business plan with a five-year budget. The proposal should outline the process to establish, and the policies to operate and terminate the Center or Institute. Furthermore, appropriate fiscal controls should be introduced and the plan to oversee the scholarly activities should be shared.

B. The proposal must be approved by the Department Chairs and/or Dean(s) of the Department(s)/College(s) involved and submitted to the Office the Senior Vice President for Academic Affairs and Provost. The Provost will act on the proposal and submit it into the shared governance review process within three months.

C. Each Center or Institute must have policies to ensure that the operations conform to state statutes and regulations, Board of Regents policies, UHS administrative memoranda, and UHCL policies.

D. Proposal Content: The proposal must entail a narrative stating the Center's or Institute's mission and objectives (including specific outcomes and criteria used to evaluate progress towards objectives), the leadership positions, a list of faculty and other participants, and an indication of how the center or institute will be funded. The following operational policies and components should be included:

1. Introduction – presents a reason for the existence of the proposed Center or Institute.
 - a. Provide a brief overview of the scholarly and educational area of focus.
 - b. Provide a brief history of the scholarly and educational area in general and at UHCL specifically.
 - c. What other Universities/entities claim this area of scholarly and educational endeavor as an area of expertise?
 - d. How will this Center or Institute be differentiated from its competitors?

- e. How will this Center or Institute respond to needs not currently being addressed by the competitors?
 - f. What are the competitive obstacles to success?
2. Goals and Objectives – the benefits to the University of Houston-Clear Lake should be presented along with the benefits to the faculty involved.
 - a. What are the goals and objectives of this Center or Institute, and how would they be achieved?
 - b. How will this Center or Institute fit into the University, including any connected or associated Departments and Colleges within UHCL?
 - c. How will UHCL’s existing strengths be leveraged in forming this Center or Institute?
 3. Organization, governance, and membership: Membership can include both tenure-track and non-tenure track faculty, as well as staff, students, and community members. The role of the members in the Center or Institute should be defined and standards should be set for involvement. Center or Institute members should be participants in the proposed activities.
 - a. Describe the proposed Center or Institute hiring plan in terms of staffing (e.g., faculty, post docs, students, staff).
 - b. How will the Center or Institute be managed and by whom?
 - c. Describe the administrative organization of the Center or Institute, including:
 - i. the rules governing to whom the Center or Institute reports,
 - ii. how the Director is chosen, appointed and terminated, the role of the Director,
 - iii. how Advisory Council is constituted and the frequency of meetings of the Advisory Council members,
 - iv. rules governing membership of the Center or Institute, how prospective members will join or leave, and the role of the members in the Center or Institute of ensuring that information on work done by members of the Center or Institute is available to the appropriate administrators, Department Chairs and Deans for deciding on increments, salary adjustments, promotions and tenure.
 - d. The composition (titles, affiliations, roles) of the Advisory Board members as well as regular Center or Institute members – a listing along with a curriculum vitae should be submitted.
 - e. Describe any relationship with industry or other organizations, if applicable.
 - f. Describe the procedures for the dissolution of the Center or Institute.
 4. Budget and Fiscal Accountability – The operating budget of the Center or Institute should be submitted for the first year. A five-year budget should be submitted in addition to the operating budget. Provide documentation of financial operations and business practices of the Center or Institute, including statements on financial accountability and reporting responsibilities for operation of the Center or Institute. If the Center or Institute has plans to pursue external funding, it should be discussed with the Office of Sponsored Programs and/or Division of University Advancement. If internal funds are being requested, include the following:
 - a. What positions/faculty lines and amounts are necessary to fund the Center or Institute?
 - b. What additional personnel resources are required?

- c. What startup package (if any) is necessary to fund the Center or Institute?
 - d. Will the Center or Institute be bringing existing research dollars into the University with the targeted hires?
 - e. What funding agencies and opportunities exist for the research generated?
 - f. How will these funding opportunities be pursued (e.g., a strategic research development plan)?
 - g. What are the sources of these funds? (Pay particular attention to sources such as philanthropy, graduate student fund generation, federal initiatives, state line items, etc.)
 - h. Discuss the projected Return On Investment (ROI), if any.
5. Space – Physical space requirements should be identified.
 - a. Where will the new Center or Institute be housed?
 - b. What facilities, equipment, and technology are needed?
 6. Commitments – Departmental or College commitments should be described.
 7. Reporting Point – The proposal should state to whom the Center or Institute will report. If the Center or Institute will be primarily in one Department, then the Center or Institute will report to that Department Chair. If the proposed activity is primarily within one College, then reporting will be to the Dean of that College. A truly multi-College Center or Institute may report directly to the Senior Vice President for Academic Affairs and Provost. The Senior Vice President for Academic Affairs and Provost must be consulted prior to submission of a request for establishment of a multi-College Center or Institute.
 8. Impact – how the new Center or Institute will impact the University of Houston-Clear Lake.
 - a. What are the specific impacts on UHCL’s mission?
 - b. What are the projected impacts on undergraduate and/or graduate student programs (e.g., new degree programs, new tracks in existing programs, increasing student involvement in research, ties in with the SACS QEP)?
 - c. What are the specific impacts on undergraduate and/or graduate student enrollments?

E. Each University-level Center or Institute proposal shall be submitted to the Senior Vice President for Academic Affairs and Provost for review. Each College-level Center or Institute proposal shall be reviewed by its respective Dean, and then by the Senior Vice President for Academic Affairs and Provost. Then, the proposal will go through the Shared Governance process.

V. REVIEW AND RESPONSIBILITY

Responsible Parties: The Senior Vice President for Academic Affairs and Provost

Review: Every 5 years

CREDIT BEARING CERTIFICATE POLICY

Approved May 12, 2022

I. PURPOSE AND SCOPE

UHCL credit bearing certificates give students the opportunity to enhance their existing degree program as well as to add value to their careers. This document sets forth the policies for creating and implementing UHCL credit bearing certificates

This policy will apply to all new credit bearing certificates

II. DEFINITION

A University of Houston-Clear Lake credit bearing certificate is an approved set of courses covering a specified topic issued by one of the four UHCL colleges.

III. POLICY

- A. Certificates must contain 15 or fewer graduate or 20 or fewer undergraduate level credits, otherwise certificates must be approved by the Texas Higher Education Coordinating Board (THECB). Texas Administrative Code Information:
[https://texreg.sos.state.tx.us/public/readtac\\$ext.TacPage?sl=R&app=9&p_dir=&p_rloc=&p_tloc=&p_ploc=&pg=1&p_tac=&ti=19&pt=1&ch=5&rl=48](https://texreg.sos.state.tx.us/public/readtac$ext.TacPage?sl=R&app=9&p_dir=&p_rloc=&p_tloc=&p_ploc=&pg=1&p_tac=&ti=19&pt=1&ch=5&rl=48)
- B. UHCL Certificates can be either undergraduate or graduate level.
- C. UHCL Certificates may be available to degree seeking and/or non-degree seeking students as specified by the certificate program.
- D. All UHCL credit bearing certificates must be approved through the UHCL shared governance process.
- E. UHCL credit bearing certificates must have an academic home in one of the four colleges.
- F. UHCL credit bearing certificates may be interdisciplinary with courses from more than one college, but the certificate must be approved by each colleges' curriculum committee prior to proceeding through shared governance for final approval.
- G. The courses for the certificate may include additional requirements as designated by the program(s)-sponsoring the certificate.
- H. Courses accepted for transfer may be applied to the certificate as approved by the sponsoring program(s).
- I. Course substitutions can be initiated by the program director of the program(s) housing the certificate.
- J. Students wanting to continue to a degree program from a credit bearing certificate program must apply to UHCL and must meet all requirements for entrance to the degree.
- K. All certificate courses will appear on the transcript.

III. RESPONSIBILITIES

The Office of the Provost will maintain documentation of all approved certificates.

As indicated in the above section (III.D), all certificates must be approved through the UHCL Shared Governance process. When proposing a certificate, the following information is needed: College(s), Department(s) and Program(s) proposing the certificate, the courses contained in the certificate, including the total number of credits, the number of required credits, the number of elective credits, the listing of the courses with the rubrics and course titles and justification for the certificate. The form should be signed by the Program Coordinator, Department Chair, the College Curriculum Committee Chair and the College Dean. Once approved at the college level, requests are to be submitted to the Associate VP of Academic Affairs who will initiate the shared governance process. The Faculty Senate Curriculum Committee is responsible for beginning the shared governance approval process in approving the certificates.

Policies Related to the Teaching Function

Policy on Authoring Online Courses by University of Houston-Clear Lake Faculty and Staff Policy 10.6

Approved February 14, 2013

(1.0) Scope

(1.1) The purpose of this policy is to maximize the creative efforts of faculty and staff for the mutual benefit of the University and its faculty and staff.

(1.2) No part of this policy is intended to circumvent the authority vested in the Office of the Provost regarding curricular matters.

(1.3) This policy:

1.3.1 governs the authoring and delivery of credit and non-credit online courses by full-time faculty and adjunct faculty offered through the University course management system.

1.3.2 generally follows policies governing other courses offered at the University.

1.3.3 reaffirms the UH-System Intellectual Property Policy adopted by the Board of Regents in May 1999 and designated as Section 21.08. The policy addresses patents, trade secrets, copyright and commercialization.

(1.3.4) seeks to make the System policy operational within the University environment.

(1.3.5) seeks to delineate the roles, responsibilities, and benefits related to University-developed and delivered online distance education credit courses.

(1.3.6) applies to any University employee engaged in authoring, developing, delivering, or commercializing online courses. References to financial compensation in this document apply only to full-time faculty and staff.

Compensation of part-time faculty, adjuncts, and other less- than full-time employees of the University is not subject to this policy.

(1.3.7) is not intended to infringe on the job description of persons hired by the University. Faculty members not hired specifically to develop, deliver, or support online courses may choose not to participate in such activities.

(2.0) Definitions

(2.1) Distance Education Delivery Methods - includes providing instruction and answering questions via telephone, television, or the Internet via electronic mail exchanges, discussion forums, chat room sessions, news groups, and other electronic means. This policy covers courses in which the delivery mode is fully online and all class instruction is delivered and course requirements are fulfilled online, day-to-day instructional activities connected with offering courses, including lecturing, or interacting with students via fully online distant delivery methods to accomplish the goals of the course, or all instruction is delivered online but could require students to attend mandatory orientation, class presentations or in-class examinations

(3.0) Approval of Online Courses

(3.1) Colleges' Responsibility in the Approval of Online Courses – Colleges have exclusive control over curriculum quality issues including class size. Each college has by-laws guiding internal decision-making on matters of policy and curriculum, which are listed below:

(3.1.1) Approving University-supported online courses authored by faculty or staff.

(3.1.2) Approving revisions to existing online courses.

(3.1.3) Approving any proposed online courses developed external to the University.

(3.1.4) Approving instructors and faculty to deliver online distance education courses.

(3.1.5) Approving non-credit online courses.

(4.0) Online Course Development

(4.1) New Course - before a course can be developed for online distance education it must:

(4.1) go through the appropriate curriculum review process of the college offering the online course, THEN

(4.1.2) be approved by the appropriate dean for development and delivery as an online course, THEN

(4.1.3) go through the University's course development processes for online courses AND appear in the University's official inventory.

(4.2) The design, layout and format for online courses must meet University standard, including accessibility standards established by Section 508 Subsection 1194.22 of the Rehabilitation Act.

(4.3) Nothing in this section is meant to preclude employees of the University from developing online courses without substantial assistance from the University. Faculty members are free to contract with commercial web publishers to develop online courses, subject to the UH System Intellectual Property Policy. However, before a course can be offered online via distance education, as a part of the University's curriculum, it must undergo the normal processes for college and University approval.

(5.0) Quality Assurance Process – once an online course is developed, but before it can be delivered, the course must go through the University's quality assurance (QA) process. The QA process ensures that the course meets the distance education quality criteria set forth by the Texas Higher Education Coordinating Board and the Southern Association of Colleges and Schools.

(5.1) An online course goes through the course development and QA process if:

(5.1.1) A brand new online course is being developed.

(5.1.2) An existing course is being migrated from one course management system to another.

(5.1.3) The mode of delivery is changing from either face-to-face or web-enhanced to online.

(6.0) Online Course Delivery

(6.1) Prior to delivering an online course, the University and the instructor(s) must enter a written agreement covering its delivery.

(6.1.1) For the delivery of the online course:

(6.1.2) The University retains the right to offer any necessary online course sections using the course, including the author's materials, during any semester.

(6.1.3) For as long as the author is employed by the University, the author retains the right of first refusal to instruct sections using the online course subject to workload guidelines and negotiations with the appropriate dean. Should the author decline to serve as instructor, the University may offer sections using the, online course, including the author's materials, to another faculty member or adjunct as instructor.

(6.1.4) Should the author leave the University, the University retains ownership of the online course and the right to reuse or modify the course. The author may re-use the online course materials at a subsequent place of employment after institution identifying information, logos, and trademarks are removed.

(7.0) Compensation

Compensation to the author for the development or revision of an online course is determined within each college.

(7.1) As long as the author remains a University employee, the author is eligible to receive residual compensation for each section using the online distance education course taught by another faculty member or adjunct, provided the author has not been compensated by the University for the development of the online course.

(7.2) Compensation to the author, based on the sale, lease, license, rent, or trade of online courses or modules comprising the online distance education course by the University, will be in accordance with the UH-System Intellectual Property Policy.

STUDENT RIGHTS WITHIN THE UNIVERSITY COMMUNITY **Approved by University Council May 19, 2014**

Policy 11.1

The University is committed to complying with all applicable federal and state laws and regulations. Admission to the university is open to anyone qualified according to published admissions standards and resource limitations.

Access to Higher Education. The University must make available to all students publications which denote academic and behavioral standards required of all who register at this institution.

Freedom from Discrimination. Students shall be treated on an equal basis in all areas and activities of the University regardless of race, color, sex, genetic information, religion, age, national origin, disability, veteran status or any other legally protected status. Additionally, for purposes of this Policy, the term "Protected Class" includes sexual orientation, gender identity and gender expression.

Freedom of Speech, Expression, and Association. The rights of free speech, expression, and association, as defined by the Constitution of the United States and developed by statutory laws and judicial decisions, are guaranteed to every member of the university community.

Rights of Privacy. A student has the right to personal privacy except as otherwise provided by law, and this privacy will be observed by students and the university officials alike. See "Confidentiality of Records" FERPA for more information.

Rights of Due Process.

Each student subject to disciplinary action arising from violations of university regulations shall be assured procedural due process. At the discipline hearings, an accused student shall be assumed innocent until found responsible, and in the initial hearing, the burden of proof shall rest with those bringing the charges. In all proceedings, the student shall be guaranteed substantive and procedural due process.

Participation in Policy Development. University policy guarantees the right of students to participate in the initiation and development of university policy through shared governance.

Policy in Decision-Making. Students have the right to have their views considered at appropriate levels of the decision-making process within the university community.

Student Organizations. The university recognizes the right of students to form organizations not forbidden by federal laws, state laws, or university policy. Student organizations must be registered and approved through the procedures established in "Student Organizations Policies" designated in these policies.

Student Publications. Student publications may deal with issues of interest and importance to the university community. At the same, the editorial freedom of student editors and managers entails corollary responsibilities to be governed by the canons of responsible journalism, such as the avoidance of libel, indecency, undocumented allegations, attacks on personal integrity, and the techniques of harassment and innuendo.

Student Responsibilities Within the University Community

A student has the responsibility to respect the rights and property of others, including other students, the faculty, the staff and the administration.

A student has the responsibility to be fully acquainted with the published university policies and procedures and to comply with them and the laws of the land.

A student has the responsibility to recognize that student actions reflect upon the individuals involved and upon the entire university community. If a student violates any university policy or procedure, the student will be subject to due process of university policy regardless of any civil or criminal actions that may be pending as a result of the same action.

The university reserves the right, through due process, to issue a warning, to suspend, or to dismiss any student for conduct that is harmful to members of the university community or damaging to the educational interests of the university.

Student Code of Conduct

<https://www.uhcl.edu/dean-of-students/students/student-conduct>

GRADING POLICY

Policy EPCC.1999.001

Approved by University Council, May 14, 2015

(1.0) Purpose

This document describes policies for assigning and modifying course grades at UHCL.

(2.0) Grade Assignments

Only the course instructor may assign a grade for a student.

(3.0) Grade Changes

Grade changes are allowed for only one of the following three reasons:

(3.1) Removal of an incomplete grade.

(3.2) Result of a grade appeal or hearing.

(3.3) Correction of instructor error.

Other than removing an incomplete, grades will not be changed on the basis of extra work submitted after final grades are assigned.

Grade changes may be made by the instructor or the appropriate Associate Dean in the absence of the instructor. After one long semester, a grade change submitted by an instructor must be approved by the Associate Dean of

the College in which the course is located. Grade changes must be completed within one year after the initial grade is posted.

GRADING PROCEDURES

Policy EPCC.1999.001

Approved by University Council, April 22, 1999

(1.0) Class Roster

Class rosters are available via E-services in the Faculty Center. The first day class roster is available on the first day of class. It contains the name of each student officially registered in the class. Students not listed on the roster should be referred to the Office of Academic Records immediately to resolve their schedule discrepancy problem.

The Census Date Class Roster is available after the census date of each semester, generally the 20th class day during the fall and spring semesters and the 4th class day in the summer. The Census Date Class Roster contains the names of all students officially registered in the class for the semester. Only students listed on the Census Date Class Roster will appear on the Grade Roster and will be eligible to receive grades for the class. Any student attending class who is not listed on the roster and who is not auditing the class should be referred directly to the Office of Academic Records. Faculty should indicate if the student is "Present" by checking the box next to each student and submitting the roster electronically by the submission deadline indicated.

(2.0) Grade Rosters

Grade Rosters constitute the official record of grades reported by instructors for all students officially enrolled at the University. Semester Grade Rosters are produced by the Registrar's Office and distributed during the week prior to final exams. If an instructor does not receive his/her grade rosters, or receives rosters belonging to someone else, the instructor should notify the Registrar's Office immediately. The deadline for submission of Semester Grade Rosters is noon on Monday following the end of final exam week. Grades of No Grade ("NG") are assigned to students when Grade Rosters are missing or late. Once an "NG" is assigned, the instructor must complete a Grade Change Form for each student on the Grade Roster. Students who receive an NG may not be eligible for the President's List; in addition, decisions regarding suspension/probation and graduation may be affected if Grade Rosters are not submitted in a timely manner. It is imperative, then, that all Grade Rosters be hand delivered to the Registrar's Office prior to the noon Monday deadline. Valid grades are noted on the grade roster. Effective Fall 1990, the University adopted the use of plus/minus with letter grades. Only the grades indicated on the roster are acceptable; invalid grades will be ignored. If a student has withdrawn from the course a grade of WX will be recorded on the Grade Roster. A grade of WX cannot be assigned to a student who has not officially withdrawn.

(2.1) Completing the Grade Roster

The Grade Roster is available via the Faculty Center in E-services by the official instructor of record. The Online

Grading Documentation will be provided by the Office of Academic Records each semester. The input of grades period and grading deadlines will be published in the Online Grading Documentation and will be strictly adhered.

(2.2) Grades of In Progress ("IP") are only valid for Master's Thesis, Project, Dissertation Residency and Internship classes that are still in progress. Grades of Incomplete ("I") are given only under special circumstances within the framework of an agreement worked out between the student and the instructor. That Incomplete Grade Contract must then be submitted to the Associate Dean's office of your college. Faculty should review the grades they submitted. Grades can be reviewed from the Faculty Center in E-Services. If discrepancies are found, the faculty member should notify the Office of Academic Records immediately.

(2.3) Incomplete Grades

A grade of Incomplete ("I") may be given at the discretion of the instructor to students who are making satisfactory progress in a course. Incomplete grades are typically given for emergency situations which occur after the withdrawal date but prior to the end of the semester, and which prevent the student from completing course requirements. When assigning the grade of "I," instructors provide students with an Incomplete Grade Contract which outlines the work to be accomplished before the "I" can be converted to a final grade and specifies a deadline date; this contract constitutes an agreement between instructors and students. A grade of "I" must be

resolved within the time limit set by instructors; however, such limits may not be extended beyond the last day of classes of the next long semester following the semester in which the "I" was assigned. Failure to resolve an "I" will result in its conversion to a final grade of "F" on students' permanent records. An "I" can be converted to a final grade only. A notation regarding a grade changed from an incomplete will appear on the student's transcript. Students should not reregister for a course to complete a grade of "I." If any portion of the course must be repeated, students must sign up as an auditor for the course and pay appropriate fees. The Incomplete Grade Contract must be submitted to the Associate Dean's Office of their college.

(2.3.1) Students on academic probation, who have outstanding "I" grades, will remain on probation until all incomplete grades are resolved. Students who have accumulated two or more unresolved grades of "I" may not register for additional courses without the approval of the appropriate Associate Dean. "I" grades are not calculated in the GPA. An "I" which has been changed to a grade or has been converted to an "F" will be recorded and academic action taken during the semester of the grade change.

(2.4) Grade Changes

Only the instructor may assign the grades for a student in a course. Grade changes may be made by the instructor, or the Associate Dean in the absence of the instructor. After one long semester, a grade change submitted by an instructor must be approved by the Associate Dean for the program in which the course is taught. Grade changes must be filed in the Office of Academic Records within one year after the initial grade is posted. Grade changes resulting from the completion of In Progress (IP) or Incomplete (I) work may only be initiated by the instructor of record or the Associate Dean.

(2.4.1) Grade Change Forms are located in the Associate Deans' Offices and the Office of Academic Records. The instructor must come in person to complete the Grade Change Form - they may not be taken from the office. When the form is processed, the Registrar's staff will compare the instructor's signature on the form to their signature on file. If the signatures match, the grade is changed on the student's permanent record electronically and thereby noted on the grade roster. A copy of the change is sent to the student and the student's college is notified.

(3.0) Auditing Courses

Students may audit courses if they meet the admission requirements of the University and have the permission of the course instructor. Application forms to audit a course may be obtained from the appropriate Dean's office.

Registration to audit a course is on a space-available basis. Only after all registration for a semester has been completed - and after determination is made that space is still available - will individuals be assigned to particular courses for auditing purposes.

Students who audit a course are eligible to attend class only. Auditing does not include any further participation in class and does not provide a grade for the course. No official registration at the University is noted on the student's record, the student is not on the official class roll and will not appear on the Semester Grade Roster. Regular tuition and fees are paid by auditors.

(4.0) Withdrawal from a Course

The University has policies governing voluntary withdrawal, administrative withdrawal and the assigning of the withdrawal mark. These policies can be found in more detail in the Program Requirements section of the Catalogs. Students who drop a class or withdraw from all classes after the semester census date of the semester or session, but no later than the withdrawal deadline as stated in the Academic Calendar will receive one of the following grades: "WQ" (Student-initiated drop, No Evaluation) or "WX" (Administrative Drop or Withdrawal, No Evaluation). These grades imply no evaluation of students' performance prior to the withdrawal. Students may retain auditing privileges with the instructor's consent. Students who do not withdraw prior to the deadline will be given a final grade by the instructor based on performance.

Reviewed and approved February 10, 2022

1. GENERAL PROVISIONS OF POLICY

Preamble and Code

Academic honesty is the cornerstone of the academic integrity of the university. It is the foundation upon which the student builds personal integrity and establishes a standard of personal behavior. The University can best function and accomplish its mission in an atmosphere of the highest ethical standards. The University expects all students, faculty, and staff to contribute to such an atmosphere by observing all accepted principles of academic honesty. This policy is designed to encourage honest behavior and outlines the processes and actions pertaining to any violation of the Academic Honesty Policy and Honesty Code.

Honesty Code

The Honesty Code is the university community's standard of honesty and is endorsed by all members of the University of Houston-Clear Lake academic community. It is an essential element of the University's academic credibility. The Honesty Code states:

I will be honest in all my academic activities and will not tolerate dishonesty.

- A. Rationale.
The University of Houston-Clear Lake expects and encourages all students, faculty, and staff to abide by the Honesty Code. However, it is recognized that any university may include a few students who do not understand, appreciate, or choose to practice the accepted principles. As a consequence, alleged cases of academic dishonesty will inevitably occur. The following procedures are designed to handle these cases in fairness to all concerned: the accused student, the faculty, and the University of Houston-Clear Lake.
- B. General Jurisdiction.
Matters relating to academic honesty are within the general jurisdiction of the Senior Vice President for Academic Affairs and Provost.
- C. Questions Regarding Applicability of Policy.
All questions regarding the applicability of University of Houston-Clear Lake policy, code, or special provisions of either shall be determined finally by the Provost.
- D. Compass of Actions Taken Against Students.
Actions taken against students are university-wide in their effect, unless otherwise specified.
- E. Student Responsibility.
Students are expected to maintain complete honesty and integrity in all academic work attempted while enrolled at the University including following the Academic Honesty Policy. Each student acknowledges, by the mere act of turning in work for a grade, that they have honored the Honesty Code. Students shall have the responsibility of reporting incidents of alleged academic dishonesty to the instructor involved, or to the appropriate authority if the alleged act is not associated with a specific class, or if necessary, to the Dean of Students.
- F. Teaching Assistant Responsibility.
Teaching assistants, including proctors, will have the responsibility of reporting incidents of alleged academic dishonesty to the instructor involved.
- G. Instructor Responsibility.
Instructors are responsible for knowing the principles and procedures of the Academic Honesty Policy, and for enforcing the policy when academic honesty violations occur. Instructors must also remind students of the Academic Honesty Policy and help them comply with it.
- H. Purpose of Procedures.

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

I. Notification.

All required written notices shall be addressed to the student via their UHCL email. It is the responsibility of the student to regularly check (at least once per week) their UHCL email. A notice properly addressed and so sent shall be presumed to have been received by the student.

J. Retaliation.

The University of Houston-Clear Lake prohibits retaliatory action against persons who report incidents of alleged academic dishonesty under this policy, who are suspected of having reported incidents of alleged academic dishonesty under this policy, who are identified to serve or have served as witnesses in any academic honesty proceeding, or who are identified to serve or have served on a hearing panel. Any acts of retaliation will be referred to the appropriate office for review and response.

K. Academic Honesty Panel

The Academic Honesty Panel is a group comprised of faculty, students, and academic administrators that conducts hearings in matters of academic dishonesty. It is the charge of the Academic Honesty Panel to uphold the Academic Honesty Policy of the University of Houston-Clear Lake and to ensure that the policy process herein has been followed. The Academic Honesty Panel includes one faculty member from each college, one student from each college, and an Associate Dean of the college in which the student is not enrolled.

The Student Government Association Executive Council will select a pool of students for each college. Each college Dean will select a student representative and an alternate from the college's pool of students. Members of the Academic Honesty hearing panel for a specific case will not include a member involved in the case of violation of the Honesty Code. Members are selected prior to the beginning of each academic year for a one-year term to begin September 1 through August 31 and they may serve consecutive terms. The Panel shall hold a hearing within ten working days of being notified by the Dean of Students.

II. PREVENTATIVE PRACTICES

A. Student Practices.

University of Houston-Clear Lake students may be required to participate in training on academic honesty and acknowledge their acceptance of the policy. Students will be provided with evidence of completion of training, which must be submitted to instructors as requested. Students are encouraged to read the Academic Honesty Policy and review as needed.

B. Instructor Practices.

Instructors can help students comply with the Academic Honesty Policy by noting the Honesty Code on the course syllabus and providing course-specific guidance. Instructors will use reasonable security precautions in the preparation, handling, and administering of graded work.

Instructors can help students comply with the academic honesty policy by minimizing temptation to act dishonestly. Measures instructors should consider are:

1. Maintaining adequate security precautions in the preparation and handling of tests;
2. Structuring the type and sequence of examination questions so as to discourage dishonesty;
3. Providing ample room for proper spacing of students during examinations, when possible;
4. Monitoring examinations, especially in large classes and in classes where not all students are known to the instructor or the assistant;
5. Making clear to their students the rules concerning the use of electronic devices;

6. Making clear to their students, in writing, what constitutes academic dishonesty, particularly in those classes where group activities (laboratory exercises, generation of field reports, etc.) are part of the instructional process;
7. Requiring students to submit their own work and defining for their students particular aspects of dishonesty, such as plagiarism and self-plagiarism;
8. Requiring students to show a picture ID and sign major assignments and exams; and
9. Helping raise consciousness of the issue of academic honesty by asking students to sign an honor pledge in the first week of class and to write a short honor pledge in their own hand on their major assignments.

C. University Practices.

The University will help students comply with the Academic Honesty Policy by informing students about academic honesty. Information about the Academic Honesty Policy will be provided to students at the time of admission and highlighted during orientation programs. The University shall establish guidelines to monitor that students and faculty follow the guidelines set forth in II.A and II.B. Additional awareness efforts can be made at the College- and University-level that engage all members of the University community, with a particular focus on informing students and instructors about the Academic Honesty Policy each academic year.

III. CATEGORIES OF ACADEMIC DISHONESTY

A. Application of the Academic Honesty Policy.

This policy applies to those acts of dishonesty committed by a student while enrolled at the University of Houston-Clear Lake.

B. Academic Dishonesty Prohibited.

“Academic dishonesty” means employing a method or technique or engaging in conduct in an academic endeavor that contravenes the standards of ethical integrity expected at the University of Houston-Clear Lake or by a course instructor to fulfill any and all academic requirements. Any conduct or activity by a student intended to earn or improve a grade or receive any form of credit by fraudulent or dishonest means is considered an Honesty Code violation and deemed academic dishonesty. Academic dishonesty includes, but is not limited to, the following:

1. **Plagiarism**

Plagiarism can include, but is not limited to, the following acts:

- a. Using the words of another author without indicating that these words belong to another author.
- b. Summarizing the words of another author without indicating that the summary has been derived from another author.
- c. Using the ideas of another author without indicating that these ideas belong to another author.
- d. Engaging another writer, whether a professional, friend, or family member to write a document that the student writer is expected to be solely responsible for writing. Or, stealing, copying, purchasing, or “borrowing” the writing of another author for the purpose of submitting the work as the writer's own.
- e. Copying the organizational strategy of another author by presenting ideas in the text in exactly the same order as in the primary text.

2. **Cheating**

- a. Openly cheating in an examination, such as copying from another’s paper;
- b. Being able to view during an examination, quiz or any in-class assignment an electronic device that allows communication with another person, access to unauthorized material, access to the internet, or the ability to capture an image, unless expressly permitted by the instructor;

- c. Using and/or possessing “crib notes,” as unauthorized use of notes or the like to aid in answering questions during an examination;
- d. Giving or receiving unauthorized aid during or after an examination, such as trading examinations, whispering answers, passing notes, or using electronic devices to transmit or receive information;
- e. Informing any person or persons of the contents of any examination prior to the time the examination is given;
- f. Securing another to take a test in the student’s place. Both the student taking the test for another and the student registered in the course are at fault;
- g. Providing answers for any assigned work when not specifically authorized by the instructor to do so;
- h. Working with another person or persons on any assignment when not specifically permitted to do so;
- i. Taking credit for work contributed by the group that was not done by the student;
- j. Completing work for other students who receive credit;
- k. Purchasing or otherwise obtaining unauthorized course work solutions;

3. *Fabrication, Falsification, and Misrepresentation*

- a. Changing answers or grades on a test that has been returned to a student in an attempt to claim instructor error;
- b. Using another’s laboratory results as one’s own, whether with or without the permission of the owner;
- c. Falsifying results in laboratory experiments;
- d. Misrepresenting academic records or achievements as they pertain to course prerequisites or corequisites for the purpose of enrolling or remaining in a course for which one is not eligible;
- e. Representing oneself as a person who has earned a degree without having earned that particular degree;
- f. Misrepresenting one’s qualifications, forging signatures, or falsifying information on official documents for the purpose of academic gain;

4. *Stealing and Abuse of Academic Materials*

- a. Stealing, as theft of tests or grade books, from faculty offices or elsewhere, or knowingly using stolen tests or materials in satisfaction of exams, papers, or other assignments; this includes the removal of items posted for use by the students;
- b. Mutilating, destroying, concealing, stealing, or altering any materials provided to assist students in the completion of academic work, including library books, journals, computer files, microfilm and microfiche files, materials placed on reserve by the instructor, or any such materials as the instructor may provide or assign;
- c. Copying of any data files or copyrighted computer program(s) for one’s own personal use or the use of others;
- d. Sharing usernames and passwords with another to allow unauthorized access to restricted information or uploading course materials (e.g. exams, assignment solutions, graded work) to the internet;

5. *Complicity in Academic Dishonesty*

- a. Failing to report to the instructor an incident which the student believes to be a violation of the academic honesty policy;

6. *Academic Misconduct*

- a. Any other conduct which a reasonable person in the same or similar circumstances would recognize as dishonest or improper in an academic setting.

IV. ACADEMIC HONESTY ENFORCEMENT PROCEDURES

The instructor has primary responsibility and authority in the classroom. Since each instructor has specific responsibilities to inform students of the contents of the Honesty Code, encourage compliance with the Honesty Code, and enforce the Honesty Code in the classroom, it is incumbent upon the instructor to administer the Academic Honesty Policy in a fair and judicious manner in all instances of alleged academic dishonesty.

A. Course Level Resolution

When an instructor has evidence that a violation of the Honesty Code may have occurred, whether through their personal witness or through a report made by another person, the instructor should immediately investigate the alleged violation to determine the facts. If a student or other member of the University community suspects that another student has committed an act of academic dishonesty, that person shall notify the instructor in the course in question.

The instructor shall notify the student, via UHCL email, of the allegation and proposed sanction. The instructor will include the Department Chair on the notification email. Once informed of the alleged violation, the student has ten working days to respond and, if desired, meet with the instructor to discuss the alleged violation. The meeting represents an opportunity for the student to present a defense on their own behalf.

After the ten-day period, and after consideration of any new evidence, the instructor will notify the student and Department Chair of their decision regarding the alleged violation with the proposed sanction. If it has been determined that a violation has occurred, the following will occur:

1. The instructor will document the violation and sanction on the Honesty Code Violation Form, and email the completed form to the student, Department Chair, and Dean of Students. This form must be completed for all instances of violation of the Academic Honesty Code, regardless of the severity of the alleged violation or the sanction imposed.
2. The Honesty Code Violation Form will include notification to the student that the decision may be appealed to the Academic Honesty Panel, and that, to appeal the decision, the student must contact the Dean of Students by email, with a copy to the instructor and Department Chair, within ten working days of receiving the completed Honesty Code Violation form.
 - a. If the decision is appealed, the Academic Honesty Panel Resolution procedures will be followed as outlined below.
 - b. If the decision is not appealed, the Dean of Students will advise students with no academic honesty violations on record that the case is closed, unless the instructor requests sanctions beyond those available in a course.
Students with academic honesty violations on record or facing additional disciplinary action(s) will be required to appear in front of the Academic Honesty hearing panel.
 - c. The Dean of Students will advise the student that, in addition to academic sanctions by the instructor, the student may also be subject to disciplinary action. Such action may be imposed by the Academic Honesty Panel if evidence exists of repeated violations of the Honesty Code.

In the event a case of academic dishonesty is not resolved prior to the deadline for reporting final grades to the registrar, the student shall receive a grade of Incomplete (“I”) until the appropriate grade can be determined.

B. Academic Honesty Panel Resolution

An Academic Honesty Panel hearing will be held in the following instances:

- 1. The instructor determines that a student has committed an act of academic dishonesty and such act warrants sanction more severe than those available for a course (e.g. Suspension).** In this case, the instructor must attach a copy of the complaint to request sanctions beyond the course level sanction to the Honesty Code Violation Form. The instructor shall recommend what they believe to be the appropriate sanction to the Academic Honesty Panel. The Dean of Students will initiate a formal hearing process as soon as possible but no later than thirty working days from receipt of the complaint from the instructor, notifying the student of the alleged violation and setting a date and time for the hearing before the Academic Honesty Panel.
- 2. The student has a pre-existing record of academic dishonesty.** The Dean of Students will notify the student, instructor(s), and the Department Chair(s) of the series of alleged violations and set a date and time for a hearing before the Academic Honesty Panel.
- 3. The Dean of Students is timely notified within 10 working days that the student wishes to appeal a course level sanction.** The Dean of Students will initiate a formal hearing process as soon as possible but no later than thirty working days from receipt of the appeal, notifying the student, instructor, and Department Chair of the date and time for the hearing before the Academic Honesty Panel.

C. Academic Honesty Panel Hearing

The Dean of Students or his designee, shall be required to convene these hearings to serve as the facilitator of the hearing(s). This individual shall not have a vote at the hearing or be present during the deliberations of the panel.

The hearing shall be held in two phases. The first phase is the determination of violation, followed, if necessary, by the sanction phase.

The student may bring an advisor to the hearing for support and advice during the hearing. The advisor may attend the hearing but shall not directly participate in the hearing or enter into discussion with the parties present. Procedures for the Academic Honesty Panel hearing process are detailed in Appendix A.

If either party intends to have legal counsel attend the hearing, the Dean of Students must be notified at least three working days before the hearing. The hearing cannot be held with such counsel in attendance unless a representative from University of Houston System legal counsel is also present.

The student and instructor will have the opportunity to present their case during the hearing. This may include the introduction of documents and/or physical evidence as well statements of individuals who have knowledge of the circumstances.

If either party intends to have witnesses attend the hearing for such statements, the Dean of Students must be notified at least three working days before the hearing along with a written statement from the witness. The Dean of Students will provide the written statement(s) to both parties prior to the hearing.

If physical evidence or witness testimony is presented in the hearing, and if either party needs reasonable time to review the evidence and/or consider the witness testimony, either party may request a

postponement of the hearing. Decisions on postponement of the hearing will be made at the discretion of the Dean of Students or designee.

The cases presented to the panel must be made by the accusing individual and the accused student. The instructor or other individuals who reported the alleged misconduct shall present the relevant information, including statements by witnesses. The accused student shall then present his/her statement and relevant information, including statements by witnesses. Neither party shall ask questions of or solicit answers directly from the other party or its witnesses. Where it appears that there are matters of disputed fact, the Dean of Students shall request the panel to ask appropriate questions of either or both parties and/or their respective witnesses so as to clarify the points in dispute. The panel shall have the right to question any and all witnesses and to examine documentation presented.

At the conclusion of the first phase of the hearing, the panel shall meet in a closed session to render a decision. The Academic Honesty hearing panel deliberates and renders a vote.

A student is found in violation of the academic honesty policy by a vote of 6 or more members of the panel present at the hearing. In order for the hearing to proceed, at least 8 out of the 9 members of the panel must be present for the hearing. Upon reaching a decision in either phase, the phase shall reconvene with all parties present and inform all parties of its decision.

After resolution of an alleged violation, the Dean of Students will email the final decision to the student, instructor, Department Chair, and Academic Dean (or the Associate Vice President for Academic Affairs if the student is non-degree seeking) within five working days of receipt of the panel's judgment.

The decision of the Academic Honesty Panel should be considered final, unless there are specific grounds for appeal (see IV.E).

The hearing shall have an audio recording. The parties involved may obtain a copy of the recording from the Dean of Students at the expense of the requesting party.

D. Sanction Phase

During the sanction phase of the hearing, the student will have an opportunity to present relevant information regarding misconduct, including witness statements, documents and other information in accordance with hearing procedures.

The faculty and student will have an opportunity to present a sanction statement. The panel shall have the right to ask questions of both parties.

If the panel decides that a violation has occurred, then the instructor's recommended sanction will be considered before a final decision is rendered by the panel. If repeated violations of the Academic Honesty Policy are documented, then the panel may impose additional penalties beyond the instructor's recommended sanction. These may include, but are not limited to:

- 1. Grade:** A grade penalty of "F" or "zero" for the course or for the academic assignment, respectively;
- 2. Probation:** The student shall not represent the University in any extracurricular activity or run for office in any University sponsored group or organization. Additional restrictions or conditions may be imposed;
- 3. Suspension:** Separation of the student from the University for a definite period of time, after which the student is eligible to return. Conditions for re-admission may be specified. When suspended, a student may not attend class or participate as a student in any University activity;
- 4. Expulsion:** Permanent separation of the student from the University.

E. Provost Appeal and Resolution

Within five work days of the panel's decision, either party (i.e. student or instructor) may file an appeal for review with the provost or that officer designated by the provost. The appeal shall be in writing and shall specifically address the issues to be reviewed based on one or more of the following grounds:

1. Significant procedural error inconsistent with the processes as outlined in this policy
2. Discovery of any new information unknown or not reasonably foreseeable at the time of the hearing that was material to and could have reasonably impacted the disciplinary decision.
3. The sanction(s) determined by the panel was significantly disproportionate to the violation.

If an appeal is submitted, the other party and Dean of Students will be notified by the Provost and will receive the appeal documentation prior to an appeal decision. The other party may submit a response within five working days. The Provost shall consider the appeal and deliver a decision within 15 working days of receipt of such appeal, except where adherence to such time period would be impracticable, in which case such time period shall be extended as warranted by the particular circumstances. If the other party submits a response to the appeal within 5 working days, the provost will have 20 working days to deliver his decision from initial receipt of the appeal. Any additional delays will be communicated via UHCL email to the parties, Department Chair and Dean of Students.

F. Actions Which the Provost May Take:

The Provost may decide to:

- (1) Approve the findings and/or sanctions of the panel.
- (2) Reverse the findings and/or sanctions of the panel.
- (3) Return the case back to the Dean of Students to provide a new proceeding, or allow the party to have the case handled beginning at any specific stage of the Academic Honesty Hearing Process.
- (4) In rare cases, return the case to the Dean of Students to provide a new proceeding with a different panel.

The Provost's or designee's written decision, and when applicable justification, will be sent to the parties, Department Chair and Dean of Students within the articulated time period.

Once the Provost has issued a decision, the matter shall be considered final and binding upon all involved.

G. Group Violations of the Academic Honesty Policy.

In instances where two or more students are alleged to be involved in the same infraction of the Academic Honesty Policy, at the discretion of the Dean of Students and in consultation with the relevant instructor, the case against the whole group will be heard by a single Academic Honesty Panel. The facts common to all cases will be presented, with all students allegedly involved, in attendance. Each student shall be allowed to present their case and/or statements to the panel separately. If requested by the presenting student, such statements shall be presented independently without the other accused student(s) in the room.

V. RECORDS

A. Records of Academic Honesty Proceedings.

The Dean of Students shall retain a copy of all Honesty Code Violation Forms. If the sanction imposed is a final grade penalty, suspension, or expulsion, the registrar's office is notified, and a record of the notification is maintained in the registrar's office according to the prescribed operating procedures of that office.

Records of proceedings under this policy are considered a student's educational record in accordance with Family Educational Rights and Privacy Act.

B. Notations on a Student's transcript.

If the student is found in violation of the Honesty Code and the penalty is anything except suspension or expulsion, the form does not become a part of the student's permanent record or transcript. Instead, it is retained by the Dean of Students. If the student is found in violation of the Honesty Code and the penalty is suspension or expulsion, the record becomes part of the student's permanent academic file and the notation of "Disciplinary Suspension" or "Disciplinary Expulsion" is placed on the transcript. In the case of suspension, the notation will be removed at the conclusion of the specified suspension period at the written request of the student. In the case of expulsion, the entry is noted permanently.

VI. DEFINITIONS

A. Working Days.

Working days, for purposes of this policy, are defined as days the University of Houston-Clear Lake is open (excluding Saturdays and Sundays) as posted in the university academic calendar.

B. Academic Record.

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

C. Sanction.

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

D. Instructor.

Instructor refers to a faculty member, lecturer, teaching assistant, adjunct instructor, or teaching fellow in charge of the course section in which an alleged violation of this Academic Honesty Policy has occurred. Such individuals will typically be the instructor of the course section in question. In instances where this is not the case, instances of alleged cheating should be reported to the instructor.

E. Student

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

VII. REVIEW AND RESPONSIBILITY

The academic honesty policy shall be reviewed every five years by the Faculty Senate Teaching and Research Committee. Any amendments to the Academic Honesty Policy must be approved through the shared governance process.

University of Houston Clear Lake

UHCL ACADEMIC AFFAIRS POLICY (UAAP)

SECTION: GENERAL

Number:

AREA: ACADEMIC AFFAIRS

SUBJECT: ACADEMIC APPEALS POLICY

I. PURPOSE

This document outlines the procedures for academic appeals, which include grade and program appeals, and degree requirements. Specific instructions are provided below for each type of academic appeal. Students are responsible for meeting the academic standards stated in the syllabus.

II. DEFINITIONS

Business Day: A day when the University is open, Monday through Friday, excluding designated holidays and/or campus closures.

Academic Appeal Committee (AAC): A standing committee of faculty established to review grade appeals, should need arise, after the department chair review. The Academic Appeal Committee would be needed if a student chooses to appeal the decision of the department chair in matters of grade appeals. Policies outlining the membership, terms, and functioning of the Academic Appeal Committee shall be established in college bylaws.

Program Appeal: Appeals relating to specific program requirements.

Degree Requirement Appeal: Appeals relating to specific degree requirements.

III. POLICY

3.1 Grade Appeals

Students must make an initial grade appeal directly to the instructor in an attempt to resolve the dispute. If a resolution has been attempted and is not possible, students may then initiate an appeals procedure.

Grounds for grade appeal must be demonstrated in writing; more than the student's opinion must be presented. Students must complete a Student Academic Appeal Form.

A grade appeal may be filed for the following reasons:

1. Instructor error in computing grades;
2. Disagreements concerning grading requirements stated in the syllabus;
3. Disagreements concerning the instructor's directions for submitting work or performing tasks
4. Instructor departing from standards/expectations outlined in the syllabus without timely

notice.

Note: An unfavorable grade due to violations of academic honesty cannot be appealed through the Academic Appeals process - see Academic Honesty Policy (ref. 06.A.16).

3.1.1. Faculty and Department Chair

A student has a right to file a grade appeal ten (10) business days from the calendar date when grades are available as reported in the UHCL Academic Calendar for that semester. It is expected that students will first attempt to reach an informal resolution by approaching the instructor with request for reconsideration of their grade. The instructor has ten (10) business days from receipt of student informal request for reconsideration to respond to an informal grade appeal request initiated by a student.

If a satisfactory solution cannot be reached with the instructor or the instructor does not respond within 10 business days, the student may send a written statement detailing the grounds for the appeal to the chair of the department in which the grade was earned. The student must send the Academic Appeal Form to the department chair within ten (10) business days of the date of response from the instructor or when a response from the instructor was due. The department chair may request relevant information from the instructor, including but not limited to course syllabus, assignment descriptions, and any grading criteria or rubrics.

The chair of the department in which the appeal is based reviews the documents provided by all parties. The department chair must respond to the student and instructor within ten (10) business days of receipt of a timely appeal.

If the chair of the department in which appeal is based is the faculty member involved in the grade appeal, students should contact the associate dean of the college in which the appeal is based to request an alternative department chair to be identified for the purpose of reviewing the grade appeal. All deadlines and timelines remain the same in this circumstance.

If the student does not appeal within ten (10) business days of the receipt of the decision, the decision of the department chair is final.

3.1.2. Academic Appeal Committee

If the student wishes to appeal a decision by the department chair, it is appealed to the Academic Appeal Committee within the college in which the appeal is based. Additionally, if the student does not receive a response from the department chair within ten (10) business days, they may appeal to the Academic Appeal Committee within the college where the appeal is based.

To initiate this appeal, the student must forward any written documentation and any responses received as well as a written reason for appealing the decision of the department chair, within ten (10) business days of receipt of the department chair's decision, to the associate dean who will promptly notify and initiate a meeting of the Academic Appeals Committee. The student and faculty member will be notified of the date upon which the Academic Appeals Committee received the documentation regarding the appeal which marks the initiation of the ten (10) business day window of consideration.

The Academic Appeals Committee can request any and all relevant materials from the department chair, student and faculty member. The committee must review the grade appeal and any additional provided documentation and render a decision on the requested grade appeal within ten (10) business days of receipt of the materials from the associate dean and forward this decision to the student, instructor, department chair and associate dean.

If the student does not appeal the decision of the Academic Appeals Committee within ten (10) business days of receipt of the decision, the decision is final.

3.1.3 Dean

If a student wishes to appeal a decision of the Academic Appeals Committee, they must notify the associate dean of the college within ten (10) business days of receipt of notification from the Academic Appeals Committee. Additionally, if the student does not receive a response from the Academic Appeals Committee within ten (10) working days of the date materials were provided to the committee, they may appeal.

To initiate this appeal, the student must forward any written documentation and the written reason for their appeal within ten (10) business days to the associate dean of the college in which the grade was earned.

The associate dean will forward the student appeal of the decision of Academic Appeals Committee and any provided documentation to the dean of the college for review and consideration. The dean, or their designee, can request any and all relevant materials from the faculty member, department chair, and the Academic Appeals Committee. The dean, or their designee, must review the grade appeal and any additional provided documentation and render a decision on the requested grade appeal within ten (10) business days of receipt of the materials from the associate dean and forward the decision to the student, instructor, and associate dean who will notify the Academic Appeals Committee.

The dean's decision (or the decision of their designee) is final on all grade appeals.

At any time during the appeal process, the person(s) reviewing the academic appeal may request, in writing, additional information from the student. The student then has ten (10) business days to respond to the request for additional information. Once the requested information has been received or when the student response was due, whichever is later, the reviewer(s) must issue a written decision within ten (10) working days.

3.2 Appeals of Academic Program or Degree Requirements

All appeals relating to specific program requirements (e.g., residency requirements) require that students submit a written petition to the associate dean of the degree-granting college detailing the grounds for the appeal. The associate dean must respond within fifteen (15) business days of the receipt of the appeal. The associate dean will respond in writing with a decision to the student with a copy to the program director and department chair.

The student may appeal this decision in writing to the dean within ten (10) business days of notification. The dean's decision must be rendered within fifteen (15) business days of receipt of the appeal and is final.

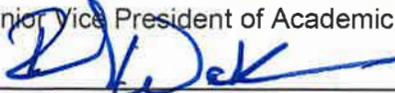
VII. REVIEW AND RESPONSIBILITY

Responsible Parties: Senior Vice President of Academic Affairs & Provost
Review: Every 3 years

VIII. APPROVAL



Senior Vice President of Academic Affairs & Provost



President

Date: 10/11/2023

IX. REVISION LOG

Revision Number	Approval Date	Description of changes
1	04/30/1997	Initial Policy
2	05/28/2021	Policy updated and placed in the standardized UHCL template.
3	10/11/2023	Updated to add required response timeline to ensure due process.

GRADE CHANGE ANNOTATION ON ACADEMIC TRANSCRIPT

Policy 11.7/ EPCC.1999.002

Approved by University Council, April 22, 1999

(1.0) Current Process

We now record both the old grade and the new grade on the academic transcript. The old grade appears with a strike-through and the new grade is the only grade used in calculating the grade point average.

(2.0) Proposal

Change our procedures to fit the “best practice” which is that used most commonly across the country. “Best practice” is to record only the final grade the student receives except in the case of incomplete grades where both grades would appear as they do now.

(3.0) Rationale

The current grade change form asks the instructor the reason for the grade change. If the reason is instructor error, our procedure is to delete the old grade and post only the final grade. If the reason is something else, we post both grades, with a strike-through the old grade. Faculty and students often want the old grade deleted, but because the reason was not instructor error, we cannot accommodate them. Or the faculty forgets to mark instructor error, the student complains, we have to verify that situation with the instructor and then make the change. Since the final grade is truly the grade the student earned, it seems reasonable to post only this grade on the student’s record and eliminate questions about the two grades for one course that may come up during job interviews or graduate/professional college application processes. If this proposal is approved, the grade change form would ask for the new grade, without reason for change, and that new grade would replace the old grade in all instances except for the incomplete grade process.

A transcript is attached to show how grade changes are now recorded. On the first page under the Spring 1987 semester you can see a grade change of “I” to a final grade of “F”. This process would stay the same. On the second page under Spring 1998 semester you see a grade change from “C” to “B”. Under the proposal, only the final **grade** of “B” would appear on the transcript.

CAMPUS STORE: TEXTBOOK ORDERING

(1.0) Textbook Ordering

The Campus Store orders all textbooks and other teaching supplies needed by students. Textbook orders are requested through the Associate Dean's office. Textbook orders are due to the Campus Store in the following time span: Fall Semester due April 15th, Spring Semester due October 15th and Summer Semester due March 15th. Specific information regarding textbook orders, desk copies and class-related materials should be referred to the Campus Store management.

(2.0) Sale of Classroom/Instructional Materials

Faculty may choose to have materials reproduced in the University Copy Center for sale to the students in the Campus Store. The Campus Store will not sell or have reproduced any of the said materials with copyrighted information without going through a copyright clearance. This procedure will take six to eight weeks. Going through these procedures eliminates the copyright infringement liability of the University and the Campus Store. Information on these procedures is available at the Campus Store.

TEXTBOOK AND EDUCATIONAL MATERIALS POLICY

Approved by University Council November 14, 2019

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

1. 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, instructors, and/or faculty units, consistent with policies of the department, college and University.
2. 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.
3. In the case of educational materials produced by faculty members or instructors such that the materials are self-published by the faculty member or instructor; or are reproductions, custom books, or other materials, produced for the course; or are published by entities wholly or substantially owned by the faculty member or instructor or by a member of his or her family, then such materials shall be made available to students at the University of Houston-Clear Lake at cost to produce. Similarly, the case where departments or other instructional units produce educational materials, the items shall be available to students at no cost or at a cost no more than it cost to produce. Textbook and educational materials, published through learned societies, professional organizations, and/or professional publishers, must be made 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.
4. Any instructional material utilized in the classrooms shall be aligned with the content of the class and the respective required curriculum.
5. In order to implement items 3 and 4, and to manage any conflict of interest, a faculty member or instructor of record at the University of Houston-Clear Lake, who receives revenue from the sale of instructional materials, must submit these materials for review

by the curriculum committee of the college that offers the course where the material is used. After the review, the college curriculum committee will make a recommendation to the dean. Dean approval is necessary before requiring students to purchase educational materials that have been written, co-written, or edited by the faculty member or instructor, and from which the faculty member or instructor shall receive royalties of any kind. Review and approval are necessary to ensure the material is consistent with the requirements in 3 and 4 above, along with the University's conflict of interest policy.

COMBINED AND PARALLEL UNDERGRADUATE AND GRADUATE COURSES

Approved by University Council, May 14, 2015

(1.0) Purpose

(1.1) A significant distinction between undergraduate and graduate levels of instruction must be made evident in combined or parallel courses.

(1.2) Assignments for these courses must be commensurate with the graduate/ undergraduate distinction.

(2.0) Definitions

(2.1) Parallel courses are courses offered at the undergraduate and graduate levels sharing a similar content.

(2.2) Combined Courses refer to cross-listed courses that include at least undergraduate and 1 graduate course.

(3.0) Policy

(3.1) Faculty members offering such a course must ensure that there are significant differences between the graduate and undergraduate requirements.

(3.2) The syllabus for parallel or combined courses must contain requirements for graduate students that are significantly different from those for undergraduates; in addition, the requirements for undergraduate and graduate students must be clearly communicated using separate syllabi.

(3.3) The necessity for the combined course must be approved by the college.

(3.4) In cases where the distinction between undergraduate and graduate courses cannot be maintained adequately, a justification must be submitted to the Office of the Provost and approved.

Policies Related to the Research, Scholarly, and Artistic Activities Functions

STATEMENT ON RESEARCH, SCHOLARLY AND ARTISTIC ACTIVITIES

From Faculty Handbook Approved June 1988

Research, scholarly or artistic activities are those which lead to the production and dissemination of new knowledge; to increased problem-solving capabilities, including such activities as design and analysis; to original critical or historical theory and interpretation; or to the production of artistic performance. (Co-authorship must be acknowledged).

Publications

- Books (in print or in press)
- Journal articles published or accepted for publication
- Reports and Monographs Book Reviews
- Chapters and Selections in Books Other Published Materials
- Paper Presentations, Abstracts and Poster Sessions
- Artistic Activities and Inventions (Exhibits, Choreography, Performances)
- Other Scholarly Activities Research Grants
- Editorships and Translations Editorial Review Boards
- Honors
- Developmental Activities (For example, activities which make a fundamental contribution to research, scholarly, or artistic skills, works in progress, workshops which develop research capabilities.) Professional Activities and Service Professional activities include: 1) Service to professional organizations and journals 2) Service to the university 3) Professional service to the public Documentation may include:
 - Service to Profession Officer
 - Conference Coordinator Committee Membership Other Organizational Activities
 - Professional Service to the Public
 - Service to community, state or national organizations
 - Service to the University
 - Advisor to student organizations
 - Program--Designated roles, committees, activities
 - College--Designated roles, committees, activities
 - University--Designated roles, committees, activities
- University System. Honors Developmental Activities (For example, those activities which develop skills to better provide public service activities such as special seminars for leadership development provided by a professional organization.)

PERSONNEL POLICIES RELATED TO RESEARCH AND EXTERNAL ACTIVITIES. Policy 10.2

From Faculty Handbook Approved June 1988

(1.0) Salary Supplementation From Research Funds

The University has adopted the following policy on the supplementation of faculty salaries from research contract funds. This policy is based on a statement of the committee on Sponsored Research of the American Council on Education which reads in part as follows:

"...universities should avoid extra compensation (compensation above the full-time base salary) for work on special projects during the academic year. The base university salary should include compensation for all university duties (for example teaching, research, administration, intra-university consulting). Exceptions to this rule should be made only for very compelling reasons and in unusual cases. Whenever it is not feasible for the salaries of faculty members to be converted to a 12-month basis, the percent of effort devoted to sponsored projects should be determined for the academic year and the university should request reimbursement for the

corresponding portion of each salary. "Very few cases exist in which salaries are continuously augmented during the academic year by research funds. In some of these cases, severe hardship has resulted to the faculty members whose income was contingent on the continuation of a research contract. The policy is intended to govern the concept of continuous supplementation and does not preclude occasional supplementation, where such compensation falls within the policy of the granting agency. This policy is generally that of government granting agencies, with but a few exceptions. It is and has been the policy of the University to request reimbursement for salary cost as a part of research grant proposals.

(2.0) Outside Employment Regarding Research

According to UH Board of Regents Policy 49.02 (October, 1987), faculty research may be subsidized by and performed with University research agencies or private organizations; however, such research, consulting, concertizing or other work must not interfere with primary University duties. (See also Dual Employment 49.04 and Consulting Policy SAM02.A.08).

(3.0) Conflicts of Interest (UH System, 02.A.09)

Although the University of Houston-Clear Lake depends upon the integrity and discretion of its staff with respect to actual or apparent conflict of interest, all University of Houston-Clear Lake employees are expected to obey all federal, state and local laws. This administrative memorandum presents requirements to avoid conflicts of interest in accordance with Texas Government Code Section 572.051, Texas Education Code 51.9337, and Board of Regents Policies, including 57.01, 57.02, 57.04, and 57.08.

(3.1) Policy

(3.1.1) Conflict of interest is the use of one's University of Houston-Clear Lake employment to obtain unauthorized privileges, benefits, or things of value for oneself or others.

(3.1.2) Guidelines to avoid conflict of interest include the following:

1. No employee shall solicit, accept, or agree to accept any privilege, benefit or thing of value for the exercise of his/her discretion, influence or powers as an employee, except as is allowed by law.
2. No employee shall accept any privilege, benefit or thing of value that might influence him/her in the discharge of his or her duties as an employee.
3. No employee shall use his or her position to secure special privileges or exemptions for himself/herself or for others, except as is allowed by law.
4. No employee may be an officer, agent, employee, or member of, or own an interest in a professional activity that foreseeably might require or induce him or her to disclose confidential information acquired by reason of his or her University of Houston-Clear Lake position.
5. No employee shall accept employment or engage in any business or professional activity which foreseeably might require or induce him/her to disclose confidential information acquired by reason of his/her University position.
6. No employee shall disclose confidential information gained by reason of his/her University position nor shall he/she otherwise use such information for his/her personal gain or benefit.
7. No employee shall transact any business for the University of Houston-Clear Lake with any entity of which he or she is an officer, agent, employee or member, or in which he or she has a direct or indirect financial or other interest.
8. No employee shall make personal investments in any enterprise which foreseeably might create a substantial conflict between his or her private interests and the University's interests.
9. No employee shall accept other employment which might impair his/her independence or judgment in the performance of his/her University of Houston-Clear Lake duties.
10. No employee shall receive any compensation for his/her services from any source other than the State of Texas except as is allowed by law.
11. No employee who exercises discretion in connection with contracts, purchases, payments, claims or other pecuniary transactions shall solicit, accept, or agree to accept any benefit from a person or entity the employee knows or should know is or is likely to become financially interested in such transactions.
12. No employee shall ask the University to accept a gift, grant, donation, or other consideration to be used as a salary supplement without the prior written approval of the recipient's immediate superior, the office of the general counsel and the president, and written authorization of the internal auditor, who shall report the necessary information to the State Auditor.
13. No employee shall knowingly solicit, accept, or agree to accept any benefit for having exercised the employee's official powers or performed the employee's official duties in favor of another.

14. Each employee who is involved in procurement or in contract management shall disclose to the agency any potential conflict of interest specified by state law or University policy that is known by the employee with respect to any contract with a private vendor or bid for the purchase of goods or services from a private vendor with the University.

15. No employee shall have a direct or indirect financial or other interest, shall engage in a business transaction or professional activity, or shall incur any obligation, that is in substantial conflict with the proper discharge of the employee's duties for the institution.

16. No employee shall act as an agent for another person in the negotiation of the terms of an agreement relating to the provision of money, services, or property to the institution.

17. Each employee shall use the resources of the University only in accordance with university policies and applicable law.

18. Any employee who is an officer, agent, employee or member of, or owns a direct or indirect financial or other interest in any entity doing business with any component university of the University of Houston System must disclose such relationship in writing to his or her immediate superior.

(3.1.3) Failure of an employee to comply with the foregoing or with applicable law shall constitute grounds for disciplinary action, up to and including termination of employment.

(4.0) Research Ethics Policy and Procedures

(4.1) Policy

The integrity of the research process is an essential aspect of a university's intellectual and social structure. Research is defined as all research, scholarly, and creative activities that support the intellectual endeavors of the University. Although incidents of misconduct in research may be rare, those that do occur threaten the entire research enterprise. Ethical codes govern the protection of human subjects and the welfare of animals and ensure compliance with specific terms or conditions of an award. The integrity of the research process must depend largely upon self-regulation. Formalization of the rights and responsibilities underlying the methods used is imperative in the research process. The following policy on ethical responsibilities in conducting research is directed toward preserving the integrity of the research process at the University of Houston-Clear Lake. It is the responsibility of UH-Clear Lake to foster a research environment that encourages ethical conduct in all research and that deals forthrightly with possible misconduct associated with research, especially when funds have been provided or requested for the research. Any failure to comply with our assurance to funding agencies and the requirements of Federal regulations may result in enforcement action against UH-Clear Lake including loss of Federal funding, and may lead to the Federal agency conducting its own investigation.

(4.2) Definition of Misconduct in Conducting Research

"Research Misconduct" may include the fabrication of falsification of data, plagiarism, or other fraudulent practices in proposing, executing, or reporting results from research. It might also involve a material failure to comply with Federal requirements for protecting researchers, human/animal subjects, or the public. In general, gross negligence of research standards and any action taken with the intent to defraud are considered forms of research misconduct. This definition does not include the results of honest error or honest differences in interpretation or judgments of data.(Definition based on statement 42 CFR Part 50, Federal Register August 8 1989)

(4.3) Prevention of Misconduct in Conducting Research

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

(4.4) Encouragement of intellectual honesty. Because of the primary role played by a climate of intellectual honesty in an academic community, a commitment to the ethical responsibilities of research by all of its practitioners is essential. We must emphasize the importance of such common practices as submission of work to peer review, avoidance of conflict of interest, scholarly exchange of ideas and data, and self-regulation.

Mentor relationships between research leaders and new practitioners serve to guarantee the transmission of ethical standards in research. Assurance that quality rather than quantity of research is emphasized in promotion and tenure review and merit pay consideration for faculty.

(4.4) Acceptance of responsibility by research supervisor. University policies must define a focus of responsibility for the conduct of research and must ensure that the individual(s) charged with the supervision of researchers can realistically execute the responsibility. These supervisors of research should be experienced researchers who serve as mentors in transmitting the ethics and responsibilities underlying the research approaches used. The larger the research team, the more critical the role of the supervisor in promoting open communication and scholarly exchange of ideas, data, and results. It is also the responsibility of the supervisor to encourage publication of as much primary data as possible.

(4.5) Establishment of well-defined research procedures. Well-designed and strictly-adhered-to methods are a deterrent to fraud. Appropriate assignment of credit and responsibility. Publications should recognize the contributions of others through adequate citation. Publications should also name as authors only those who have had a genuine role in the research and who accept responsibility for the quality of the work being reported. Ordering all authorship should accurately reflect the contributions of the major participants in the research and writing process, including students.

(4.6) Response to Misconduct in Conducting Research

The University of Houston-Clear Lake will conduct inquiries and investigations into reported allegations of misconduct in conducting research by faculty, staff or students. These inquiries and investigations will be pursued in compliance with the rights to privacy, due process and academic freedom of those being accused. Proof of misconduct will result in appropriate disciplinary action by the University.

(4.7) Procedures

University Procedures for Dealing with Alleged Misconduct in Research

These procedures assume the University will act to protect the rights and reputations of all individuals, including any person who is alleged to have engaged in misconduct, as well as the person(s) who made the allegations. Also assumed is the University's prompt, careful, and objective review of such allegations. Confidentiality shall be maintained throughout the proceeding by all parties involved. In each College, the Dean or an individual designated by the Dean shall have principal responsibility for assessing a proper response to allegations of misconduct in conducting research. To assist the Dean's office in meeting this obligation, all allegations of misconduct, whether discovered by a faculty member or other member of the academic community, shall be brought to the attention of the appropriate Office of the Dean unless the allegations are clearly frivolous or otherwise lacking in substance.

(4.8) The Dean or the Dean's designee shall decide whether it is appropriate to resolve the matter through informal processes and discussions. Such processes shall begin immediately upon receipt of the allegation and shall be completed within 30 days of initiation unless an extension of no more than 30 days is requested by the Dean and granted by the Provost. A written report of the inquiry shall be prepared by the Office of the Dean and submitted to the Senior Vice President and Provost and the individual who is the subject of the allegation, as well as any co-investigators on the research project(s) involved. Final resolution through informal means shall require approval by the Provost or his/her designee.

(4.9) If the matter is not resolved through informal efforts and if, in the view of the Office of the Dean or the Provost, further proceedings are required, the allegation shall be referred to the University Research Committee.

(4.10) The Chair of the University Research Committee shall appoint from its membership an ad hoc committee of five members to hear the allegation of misconduct in research. Any individual who has been involved in the college level inquiry may not serve on the ad hoc committee. The Chair of the committee may supplement by not more than two members (who shall be voting members) the subcommittee's membership when special expertise is necessary to understand the research in question and/or when allegations concern other universities or agencies. The subcommittee shall investigate the facts and submit the results to the University Research Committee. The committee, with the benefit of the report from the subcommittee and after such proceedings and deliberations as it deems appropriate, shall submit its report including recommendations to the Senior Vice President and Provost. The investigation shall be completed within 60 days of initiation unless an extension of no more than 30 days is requested by the committee and granted by the Senior Vice President and Provost.

(4.11) The Senior Vice President and Provost shall take action or make such recommendations as may be required. Special procedures must be followed when the alleged misconduct occurs in a research program funded by Federal or State agencies. It becomes necessary to notify the appropriate Federal or State agency, if at any stage of the inquiry or investigation, it is ascertained that one of the following conditions exists:

- There is an immediate health hazard involved;
- There is an immediate need to protect Federal funds or equipment;
- There is an immediate need to protect the interests of the person(s) making the allegations or of any individual who is a subject of the allegations as well as his/her co-investigators and associates, if any;
- It is probable that the alleged incident is going to be reported publicly.
- There is a reasonable indication of possible criminal violation. In that instance, the institution must inform the appropriate Federal or State agency within 24 hours of obtaining that information.

(4.12) The following actions are recommended when alleged misconduct is substantiated by a thorough investigation:

- The sponsoring agency should be notified of the findings of the investigation, and appropriate restitution should be made.
- All pending abstracts and papers emanating from any research found to be fraudulent should be withdrawn, and editors of journals in which previous abstracts and papers appeared should be notified.
- Institutions and sponsoring agencies with which the individual has been affiliated should be notified if there is reason to believe that the validity of previous research might be questionable.
- A faculty member whose misconduct is substantiated may be barred from submission of proposals to internal and/or external funding sources for a period of time.
- Appropriate action should be taken to terminate or alter the status of faculty members whose misconduct is substantiated.
- Institutional administrators should consider, in consultation with legal counsel, the release of information about the incident to the public press, particularly when public funds were used in supporting any research found to be fraudulent (recommendation from the Association of American Medical Colleges, June 24, 1984, pp. 5-6).
- The Office of the Dean and the University Research Committee shall maintain records of all proceedings in which they were involved. To the extent allowed by law, such records shall be made available to the accused.
- The researcher(s) involved in the alleged misconduct shall be informed in a timely fashion of the nature of the allegation and the preliminary evidence upon which it is based. Throughout the investigation he or she shall be advised of the progress of the investigation and be afforded the opportunity to respond and provide additional information. He or she shall be able to continue his or her activities unless legal, ethical, or contractual guidelines prohibit such continuation. Throughout the investigation, all parties involved shall maintain confidentiality.
- When a thorough investigation fails to substantiate an allegation of misconduct, formal measures will be instituted to ensure restoration of the reputation of the researcher(s) involved in the alleged misconduct. Appropriate actions will be taken against those who leveled the allegation if their unfounded charges are demonstrated to have been malicious or intentionally dishonest.

PROCEDURE ON CONFLICTS OF INTEREST FOR INVESTIGATORS

Policy LRCC.2005.001

Approved by University Council, March 10, 2005

(1.0) Purpose

The Conflict of Interest policy applies to individual(s) applying for or receiving funds that are to be managed through the University. In accordance with Federal regulations, the University has a responsibility to manage, reduce, or eliminate any actual or potential conflicts of interest that may be presented by a financial interest of an investigator. Thus, the University requires that investigators disclose any significant financial interest that may present an actual or potential conflict of interest with a sponsored project. Violations of conflict of interest may result in fines and/or penalties against the university.

The goal of the Conflict of Interest policy is to facilitate maintaining objectivity in the production of research results.

(2.0) Definitions

(2.1) To be in compliance with Federal regulations governing sponsored projects, we have adopted the following definitions.

(2.2) Investigator means the principal investigator/project director, co-principal investigators, and any other person at the university who is responsible for the design, conduct, or reporting of research, educational, or service activities funded, or proposed for funding, by an external sponsor providing funds that are to be managed through the university. In this context, the term "Investigator" includes the investigator's spouse and dependent children.

(2.3) Significant Financial Interest means anything of monetary value, including, but not limited to:

- salary or other payments for services (e.g., consulting fees or honoraria)
- equity interests (e.g., stocks, stock options or other ownership interests)
- intellectual property rights (e.g., patents, copyrights, and royalties from such rights).

The term does not include:

1. salary, royalties, or other remuneration from the university;
2. income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
3. income from service on advisory or review panels for public or nonprofit entities;
4. an equity interest that when aggregated for the Investigator and the Investigator's spouse and dependent children, meets both of the following tests: does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, or constitute more than a five percent ownership interest in any single entity, or
5. salary, royalties, or other payments that when aggregated for the Investigator and the Investigator's spouse and dependent children over the next twelve months, are not expected to exceed \$10,000. Provided, however, that the exclusions in items (1), (4), and (5) shall not apply if the compensation or transfer of an equity interest is conditioned upon a particular outcome in a sponsored research project.

(2.4) A Potential Conflict of Interest occurs when there is a divergence between an individual's private interests and his or her professional obligations to the University such that an independent observer might reasonably question whether the individual's professional actions or decisions are determined by considerations of personal gain, financial or otherwise. An actual conflict of interest depends on the situation and not on the character or actions of the individual.

(2.5) Conflict of Interest

The following list illustrates some of the most common conflicts of interest that occur with sponsored programs:

- Altering the focus of a research program for the benefit of one's outside interests or for financial gain;
- Obtaining personal gain by influencing purchases of equipment, instruments, etc.;
- Influencing the negotiation of contracts for inappropriate personal or third party benefit;
- Using or releasing privileged information for personal or third party gain;
- Accepting gratuities or special favors in return for influencing the conduct of research.

(3.0) Procedure

(3.1) Prior to the University entering into any of the arrangements listed below, the involved Investigator must have submitted to the dean of his/her College or to the executive unit head a complete written disclosure. This disclosure should include 1) his or her current or pending relationship with the outside enterprise or entity in which the Investigator has a significant financial interest, 2) the relationship of the proposed University activity to the enterprise or entity, and 3) the means by which the Investigator proposes to address actual or potential conflicts of interest which arise from his or her, including immediate family members, dual University and enterprise or entity roles.

(3.2) Project proposals where any of the involved Investigators (or immediate family members) have employment or consulting arrangements or significant financial interests in an enterprise or entity whose interests might be affected by the outcome of the proposed project.

(3.3) Project proposals in which any of the involved Investigators (or immediate family members) have employment or consulting arrangements or significant financial interests in the proposed sponsor, subcontractor, vendor, or collaborator with the proposed project.

(3.4) Gifts, including cash or property, which will be under the control, or will directly support the teaching or research activities of an Investigator from an enterprise or entity in which that Investigator (or immediate family members) has an employment or consulting arrangement or significant financial interests.

(3.5) University technology licensing arrangements with an enterprise or entity for which the inventor (or immediate family members) has employment or consulting arrangement or significant financial interests. Common sense must prevail in the interpretation of these provisions. That is, if a reasonable, disinterested person would question the relationship, it should be disclosed and approval sought for the proposed arrangement.

(4.0) Implementation

This procedure as written is based on the final regulations issued by the National Science Foundation contained in Manual Number 15 as revised October, 1977 and the Public Health Service Objectivity in Research Guide, National Institutes of Health Guide effective October 1, 1995.

(5.0) Certification of Compliance

(5.1) On an annual basis, all Investigators engaging in sponsored projects must certify to their dean or executive unit head their knowledge of and compliance with the financial disclosure policy of the University as outlined herein. (See Appendix I, sample certification form, at the end of this document.) The certification form also requires the same information about members of the Investigator's immediate family. Investigators must supply this information for confidential review by the University. At minimum, disclosures must include the information found on the sample certification form at the end of this document.

(5.2) In addition, Investigators engaging in sponsored projects must disclose to their Dean or executive unit head on an ad hoc basis new situation in which significant financial interests are obtained and which may raise questions of conflict of interest as soon as such situations become known to the Investigator.

(5.3) The dean or executive unit head will review the financial disclosure, determine whether an actual or potential conflict of interest exists, and determine what conditions or restrictions, if any, should be imposed by the institution to manage, reduce or eliminate such conflict of interest. An actual or potential conflict of interest exists when the reviewer(s) reasonably determines that a significant financial interest could affect the design, conduct, or reporting of the research or educational activities in question.

(5.4) Examples of conditions or restrictions that might be imposed to manage, reduce, or eliminate actual or potential conflicts of interest include:

- Public disclosure of significant financial interests;
- Monitoring of projects by independent reviewers;
- Modification of the research plan;
- Disqualification from participation in that portion of the project that would be affected by the significant

financial interests;

- Divestiture of the significant financial interests; or
- Severance of relationships that create actual or potential conflicts.

(5.5) If the dean or executive unit head determines that imposing conditions or restrictions would be either ineffective or inequitable, and that the potential negative impacts that may arise from a significant financial interest are outweighed by interests of scientific progress, technology transfer, or the public health and welfare, then the dean or executive unit head may recommend that the project go forward without imposing such conditions or restrictions. Such a recommendation will be forwarded through the Executive Director, Office of Sponsored Programs, to the Associate Vice President for Information Resources, who shall provide his or her approval and/or disapproval as delegated by the Provost. Restrictions similar to those listed in section 5.4 may be imposed by the Associate Vice President for Information Resources.

(6.0) Appeals of Decisions

Should an Investigator wish to appeal a decision made by the Associate Vice President for Information Resources, he or she may present the appeal to the Provost who then forms the adhoc appeals committee. The adhoc appeals committee is to be made up of one faculty from each college selected by the dean of that college, one member from A&F and one non-academic position appointed by the Provost. The adhoc appeals committee will make a recommendation to the Provost who has final authority.

(7.0) Retention of Records

Records of all financial disclosures and of all actions taken to resolve actual or potential conflicts of interest will be maintained in the Office of Sponsored Programs until at least 3 years beyond the termination or completion of the sponsored project award to which they relate, or the resolution of any government action involving those records. Failure of any Investigator to comply with this policy shall constitute grounds for disciplinary action.

FACULTY RESEARCH AND SUPPORT FUND

Policy 10.3

Approved by University Council, October 11, 2018

Previously Approved by University Council, September 16, 2004

(1.0) Purpose and Funding Overview

At the discretion of the Faculty Research and Support Funds Committee, FRSF funds will be used to support research, creative and scholarly professional development activities by the University of Houston-Clear Lake faculty. The average grant award has been approximately \$3,500 during the recent history of the FRSF fund. The maximum funding range is \$5,000-\$6,000.

(2.0) Allowed and Unallowed Expenses

(2.1) Funds may be used to support research, creative and scholarly activities. Examples of allowable expenses include:

- 2.1.1. Equipment, supplies, and materials necessary to support a particular research, creative or scholarly project
- 2.1.2. Copyright permission expenses
- 2.1.3. Subvention for scholarly works supported with appropriate documentation
- 2.1.4. Student assistant, research associate and research assistant salaries.
- 2.1.5. Fringe benefits associated with supported salaries, unless those benefits are paid by the state.
- 2.1.6. Travel expenses only when essential to conduct offsite research, and when itemized in detail in the proposal budget
- 2.1.7. Preparation of monographs, including textual and biographical research and/or annotation, and scholarly or critical books or studies, other than textbooks
- 2.1.8. Page charges and/or reasonable reprint costs for articles in refereed journals
- 2.1. Certain expenses will not be supported by FRSF funds. These include but are not limited to:
 - 2.2.1. Travel to present at a conference
 - 2.2.2. Page charges for non-refereed journals
 - 2.2.3. Reimbursement for publication costs already incurred

- 2.2.4. Faculty course release and/or summer salary
 - 2.2.5. Costs associated with the completion of a doctoral dissertation or master's thesis
 - 2.2.6. Expenses associated with development of teaching materials or courses, including textbooks, classroom instructional materials and curriculum studies.
- (2.2) Requests for funding to conduct institutional surveys and/or studies will not be supported unless they are clearly and plausibly intended for dissemination to the appropriate academic discipline, e.g., as an article in a refereed journal.

(3.0) Eligibility

The following criteria must be satisfied to be eligible for Faculty Research and Support Funds:

- 3.1. The applicant must be a full-time tenure-track faculty member.
- 3.2. Faculty members may only have one active FRSF award at a time. If a previous award has not been completed (via final project award) or is on a no-cost extension, it is an active award and the committee will not consider a new FRSF proposal from that faculty member.
- 3.3. If applicants are members of the FRSF Committee, they will recuse themselves and not participate in the discussion of proposals during that cycle. An alternate will be named as described in section 6, below.
- 3.4. Applicants must submit final reports from previously funded UH-Clear Lake faculty support programs. Optionally, reports may take the form of resulting articles, papers or grant applications.

(4.0) Proposal Requirements And Format

(4.1) When feasible, the following format should be used in submitting requests to the Faculty Research and Support Funds c/o the Office of Sponsored Programs, email address:

sponsoredprograms@uhcl.edu.

(4.2) Brevity will facilitate the review process. The project description may not exceed 10 double-spaced printed pages with 1" margins and font size 12 or larger.

(4.3) Electronic submission of proposals is required. Other materials, e.g., reprints, which are not available in electronic format to be considered with the proposal must be provided to the Office of Sponsored Programs.

(4.4) The CV/biosketch of faculty member(s) must be electronically attached.

(4.5) Proposals must be submitted in the following standard sequence:

4.5.1. Cover page on OSP-provided form, including:

- a) Project title (brief but appropriately descriptive)
- b) PI name, title, department, phone, and e-mail address
- c) Total amount requested, in whole dollars
- d) Abstract (150 words or less), presented in accessible language, that describes the overall purpose of the project

4.5.2. Purpose and Objectives of Proposed Request - The benefits to be derived from the proposed request.

4.5.3. Background and Hypothesis

- a) Description of events leading up to the request.
- b) For research projects, give a description of the current status of research projects and give a description of the current status of research in this field.
- c) Include any preliminary work performed which led to this proposal.

4.5.4. Significance of the Request - Potential importance of the proposed activities, outcomes to be produced and benefits to be derived.

- 4.5.5. Procedures/General Work Plan/Methodology - Procedures to be followed in attaining the specific aim of the requests. A description of the specific nature of the proposed activity.
- 4.5.6. Duration of Request/Time Frame - A detailed schedule for the proposed activity (not to exceed one year).
- 4.5.7. Equipment/Facilities - Description of existing UHCL equipment and facilities available for the proposed project; and, justification of equipment/ facilities requested to be purchased in the budget.
- (4.5.8) Dissemination/Use of Results and Project Sustainability – Describe plans for disseminating and using the outcome of the project. If applicable, describe the mechanisms for sustaining the project after the conclusion of the funding period, including identification of potential funding sources to continue and/or expand the project.
- (4.5.9) Budget Summary - A detailed budget for the proposed activity.
- (4.5.10) Budget Justification
 - a) Estimate travel cost for research to be conducted offsite.
 - b) List each item of equipment, supplies, cost, and the relationship to the project.
 - c) Estimate salary costs and fringe benefits and justify the employment of research assistants.
- (4.5.11) Cost Share Support from Program/College – Itemize budget items which will be supported by program or college. For such support, documentation from program or college must be provided.
- (4.5.12) Appended Materials - Names/vitae of all professional personnel who will work on the proposed request must be included as an appendix. Other appendices may be used to include supplemental information that supports the proposal, but has no logical place within the proposal narrative.

(4.6) All proposals must have approval by the College’s Dean. Forward proposal and CV/biosketch to the dean requesting an email recommendation of support be sent to the Office of Sponsored Programs via sponsoredprograms@uhcl.edu.

(5) Proposal Review Criteria And Process

(5.1) Priority for funding will be at the discretion of the FRSF Committee with consideration given to research, creative and scholarly activities (1) based on merit, (2) to generate additional external resources, and (3) not eligible for other existing funds within the university. Where merit of proposals is equal, preference will be given to proposals from those individuals seeking tenure and those who have not received FRSF funding in the previous twelve months.

(5.2) Consideration will also be given to the scholarly productivity resulting from the applicant’s FRSF awards in the preceding three years.

(5.3) The following six major criteria will be considered in the evaluation of all projects, thus assuring all proposals are evaluated equitably and objectively.

- (5.3.1) To what degree does the proposed project meet the stated purpose of the FRSF fund?
- (5.3.2) How significant and timely is the request?
- (5.3.3) To what degree might the proposed project contribute to the advancement of a discipline or its practical applications?
- (5.3.4) To what degree are the proposed hypothesis, methodologies and plans clear and complete, with need for project and expected project impact clearly noted?

(5.3.5) Does the applicant have an impactful plan for disseminating the research?

(5.3.6) If applicable, does the applicant have a realistic plan for leveraging the funds into an external grant or contract?

(5.4) Projects may also be evaluated based on their potential benefit to the university. Such benefits may include prospects for external research funding, beneficial student research participation or valuable additions to the university's research infrastructure.

(5.5) Faculty Research and Support Funds will be distributed on an open competition basis. Funds remaining from one cycle will be carried forward to the next funding cycle. The FRSF Committee is responsible for best utilization of the available funds.

(5.6) The Committee may choose to (a) fund the full proposal; (b) partially fund the proposal with recommended changes to the budget; or (c) decline the proposal. It may recommend that the faculty member revise and resubmit at the next funding cycle.

(5.7) The recipient may request budget modifications during the term of the award. An email specifying the proposed changes is sent to the Office of Sponsored Programs for approval by the fiscal manager on behalf of the Committee.

(6.0) Committee Membership

(6.1) Voting members of the FRSF Committee will be a University committee consisting of eight elected faculty members, two from each college. The term for service shall be four years. Committee members will be elected with staggered appointments so that there will be four newly elected members, one from each college, every other year.

(6.2) The Executive Director of the Office of Sponsored Programs serves as *ex-officio* chair and fiscal manager. The Executive Director of the Office of Sponsored Programs will serve as a voting representative only in the event of a tie.

(6.3) In addition, each college will elect an alternate to serve during the funding cycle in which that college's representative submits a proposal to the committee for funding or is unable to be present at called meetings.

6.4 The Committee may call upon *ad hoc* reviewers for further evaluation of the technical aspects of proposals or may request the applicant to meet with them before recommending final action on the proposal.

(7.0) Reports And Acknowledgments

(7.1) Recipients of Faculty Research and Support Funds must submit a final report in electronic form to the Executive Director of the Office of Sponsored Programs 90 days after the project is completed or one year after the project is funded, whichever is later. This report may be brief, and it should summarize accomplishments of the project. The report may optionally take the form of a scholarly article, scholarly conference paper, or grant proposal connected with the FRSF project. The final report must be submitted before further FRSF funding will be considered.

(7.2) The report should acknowledge that the project was funded by the Faculty Research and Support Funds.

(8) Post Award Information

(8.1) No-Cost Extensions: It is expected that the work be completed in the one-year award period. No-cost extensions will be made only for extenuating circumstances beyond the control of the awardee and if approved are generally no longer than one semester. Requests should be made as far in advance as possible. In the event that an extension is not approved, the applicant will forfeit funds remaining at the conclusion of the original award period. The Executive Director of the Office of Sponsored Programs is responsible for approving requests for no-cost extensions.

(8.2) Recipients Leaving the University: If a recipient of the Faculty Research and Support Funds

leaves the University before the project is completed, any remaining funds will be retained by the University.

(8.3) University Property: Purchases of equipment, books, materials, etc., from the Faculty Research and Support Funds are properties of UH-Clear Lake and remain its property when recipients terminate their position with the University.

(8.4) Royalties: Royalties will conform to UHS Intellectual Property policies.

(9) Application Deadlines

(9.1) The deadlines for submitting applications are September 15 and March 15 by 5 p.m.

(9.2) If the 15th falls on a weekend or a holiday, the deadline is the next working day.

(9.3) Electronic submissions by applicant and approvals by each applicant's dean are due by 5 p.m.

on the closing dates and will not be accepted after 5 p.m. on the closing dates.

(9.4) No alterations, additions, or changes to proposals will be accepted after the noted closing dates; however, an applicant may withdraw a proposal at any time before a final decision is made.

(10.0) Compliance Requirements

(10.1)

Human Subjects: For projects involving human subjects, applicants must submit an application and secure approval for those projects from the Committee for the Protection of Human Subjects prior to the beginning of the project.

(10.2) Vertebrate Animal Use: For projects involving vertebrate animals, applicants must submit a protocol and receive approval of the Institutional Animal Care and Use Committee (IACUC) prior to the beginning of the project.

FACULTY DEVELOPMENT AND SUPPORT FUNDS

These funds are awarded within the colleges according to the college-specific guidelines. See college documents for criteria and award process.

FACULTY DISCIPLINARY PROCEDURES

Policy 8.6

Approved by University Council March 10, 1993

1.0 Statement of Purpose

Disciplinary procedures are designed to ensure that formal complaints of misconduct not covered by other specific university disciplinary procedures, receive administrative due process. In all cases governed by these procedures, it is imperative that the right of presumed innocence of the accused be recognized, and that the rights of confidentiality and due process of the claimant and the faculty member charged of misconduct are afforded equal protection. It is also the intent of the policy to ensure that any and all complaints involving faculty misconduct be resolved successfully at the appropriate level. What follows is intended to be a set of dispute resolution and disciplinary procedures -- not legal proceedings.

(2.0) Formal Complaint Procedures

Anyone bringing a complaint of misconduct against a faculty member must inform the faculty member's Dean of his/her intention. The complaint must be in written form and must be specific as to the nature and the circumstances of the alleged offense. The complaint should be filed with the Office of the Dean within ninety (90) days from the day the alleged offense occurred. Should the complaint be made by the faculty member's Dean, the responsibilities assigned below to the Dean will become the responsibilities of the Provost. Should the Provost also be a complainant with the Dean, these responsibilities then pass to the President. Should a Dean be the person against whom the complaint is made, the Provost or President will handle the responsibilities normally administered by the Dean. When a written complaint is made, the Dean will decide the appropriate level for resolution of the dispute. This may involve dispute resolution between the parties with the Chair/Program Coordinator, or an independent mediator appointed by the Dean with the consent of the parties involved. The independent mediator or Chair/Program Coordinator shall initiate discussions with both parties, jointly and/or separately at his/her sole discretion, with the purpose of reconciling the differences. It is hoped that most complaints would find a resolution at this level. If a solution is reached which is satisfactory for both the claimant and the faculty member, no further action is necessary, and the matter is to be considered closed. In case the claimant seeks further relief against the faculty member, the Chair/Program Coordinator or independent mediator is directed to submit to the Dean the original written complaint and a report of his/her efforts to mediate the matter. The Dean is then directed to forward the case to that College's Disciplinary Committee. The College Disciplinary Committee should ordinarily reach a recommendation within forty-five (45) working days. In conducting its hearings and deliberations, the Committee will set its own rules of procedure by majority vote. The College Disciplinary Committee will offer its recommendation in writing to the Dean of the College for further action. The Dean will consider the findings of the committee before imposing any sanctions, or recommending sanctions to the Provost. Should the Dean implement or recommend sanctions that are not recommended by the Disciplinary Committee, the Dean must inform the Provost in writing the reason(s) for

deviating from the Committee recommendations. As a result of this process, if a sanction is imposed on the faculty member by the Dean and the faculty member believes that such sanction has been incorrectly or unjustly imposed, the faculty member can appeal the decision through the Faculty Grievance Process.

(3.0) Composition of Disciplinary Committee

The College Disciplinary Committee will have a membership of three (3) faculty members. One faculty member is chosen by the claimant, one faculty member is chosen by the faculty member against whom a

charge of misconduct has been made, and the remaining member, who will serve as chair, is selected by agreement of the two other faculty members on the committee.

(4.0) Disposition of Complaints

The general procedure in determining if the formal complaint and its resolution will be made part of the permanent record of the faculty member shall be as follows:

- If the charge of misconduct is resolved by the independent mediator or the Chair/ Program Coordinator, no written record of it will be kept in the faculty member's personnel file.
- If the individual is found to have committed the offense and sanctions are imposed, all written documentation pertaining to the incident(s) will become part of the personnel file kept in the Provost's office. If the individual is found not to have committed the offense, or no sanctions were imposed, no records will be kept.

(5.0) Maintenance of Records

- The following records will be maintained for each complaint during the time that the disciplinary process ongoing:

(5.1) Original written complaint.

(5.2) The Chair/Program Coordinator's or mediator's written report.

(5.3) The Dean's written report.

(5.4) College Disciplinary Committee: The Committee will decide on a case by case basis its rules of procedure, the appropriate records and the form in which to keep such records. In all cases the minimum records to be kept will be:

- a. All documents accumulated during the case.
- b. The Committee's written recommendation.

(5.5) In certain instances it is recognized that the university may be required by law to maintain certain records. Nothing in these procedures will prohibit the university maintaining the minimum necessary records to comply with the law. Such records will be maintained in whatever place the Provost deems appropriate.

FACULTY GRIEVANCE POLICY

Policy 9.1

Approved by University Council, December 12, 2020

The University of Houston-Clear Lake 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 be grieved.

(1). Purpose

The Faculty Grievance Policy is designed to provide due process for faculty members. This policy will apply anytime a grievance is filed by a UHCL faculty member against members of the faculty, staff, or administration where no other UHCL policy is appropriate. Faculty are encouraged to attempt all informal avenues of resolving disputes before pursuing a formal grievance.

Although grievances can concern any action affecting a faculty member, they might include promotion and tenure decisions, dismissal of untenured faculty, post-tenure review, work assignments, violations of academic freedom, merit raises, and committee assignments. Grievances may also be for violations of University policies, College By-laws or other policies as appropriate. For guidance regarding grievances specifically relating to matters of promotion and tenure please see Section 15 of this policy.

(2) Definitions and Clarifications

(2.1) Respondent - the individual against whom the grievance is filed.

(2.2) Grievant - the person initiating the grievance.

(2.3) Faculty - includes tenure track and tenured faculty and those appointed to non-tenure track academic positions. The positions are defined in the Faculty Handbook.

(2.4) University Grievance Panel – a panel consisting of 10 tenured, full-time faculty members from each college who are eligible for election to the Faculty Senate. At least two of these members per college should hold the rank of (full) Professor. This panel serves as the basis for development of the Grievance Committee (see 2.5).

(2.5) Grievance Committee – a committee of five people, consisting of three voting members (to be selected from the University Grievance Panel from members not from the college of the grievant or respondent) and two non-voting representatives (as defined in 2.6). The two other members, known as representatives, must be full-time faculty who are eligible for election to the Faculty Senate (See 7.1).

(2.6) Representative – Representatives are appointed; one named by the grievant, a second member named by the respondent. These two members will serve as representatives of the parties involved during the grievance process. (See 7.2) Representatives must be full-time faculty members who are eligible for Faculty Senate.

(2.7) Working day – a day in which classes are in session at UHCL and all offices are open.

(2.8) If the provost is a respondent, the president of the university will assume the responsibilities assigned to the provost in this Grievance Policy. In such an instance, the university president shall not delegate responsibilities and role within the grievance process to an individual below the organizational level of the respondent.

(2.9) If the Faculty Senate president is the grievant or respondent, then the Faculty Senate past president takes the place of the faculty senate president in the grievance process.

(3) Selection of University Grievance Panel

(3.1) The University Grievance Panel shall consist of 10 tenured faculty elected from each college.

The members must be full-time faculty members who are eligible for election to the Faculty Senate. The ten members of the panel chosen from each college shall be elected by those full-time faculty members of the college who are eligible for election to the Faculty Senate. Each college will elect five representatives every spring semester to serve a two-year term starting September 1.

- (3.2) By April 15 of each year, the Faculty Senate president will issue a confidential ballot to all the full-time faculty of each college who are eligible to be elected to the Faculty Senate. The ballot language shall include a statement on the importance of diverse representation on the Grievance Panel. Faculty members receiving confidential ballots will vote for up to 10 faculty members of their college to serve on the University Grievance Panel. These ballots will be submitted to the Faculty Senate president for tabulation.
- (3.3) Faculty members receiving the highest number of votes (the one full professor with the highest votes, then the highest 4 of the remaining faculty on the ballot) will be asked by the Faculty Senate president to serve on the University Grievance Panel. If any of those elected is unable or unwilling to serve, the faculty member receiving the next highest number of votes will be asked to serve.
- (3.4) Should a member become unable to serve during their term the faculty member receiving the next highest number of votes in the latest election shall be asked to serve.
- (3.5) Upon completion of the election, the president of the Faculty Senate will provide the provost with the names of the members selected to serve on the University Grievance Panel. The provost will in turn notify the deans of the colleges and the faculty members elected to the Grievance Panel.

(4) Informal Resolution

- (4.1) An attempt to settle grievances informally should be made through discussions between the grievant and the respondent(s). This informal process may include discussions or mediation with appropriate persons who are not parties to the grievance.
- (4.2) If informal discussion does not resolve the grievance, the grievant may petition for a formal hearing of the grievance by a University Grievance Committee. Informal resolution may still take place at any point in the grievance process.

(5) Formal Resolution

- (5.1) If informal resolution of the grievance is not possible, the process for formal resolution of the grievance can be initiated as provided in section 6. In such cases, after a formal notification to the provost's office by the grievant, a Grievance Committee will be

selected as stated in 7.3 of this policy. The Grievance Committee will hold hearings if needed and make a recommendation to the provost.

The provost's recommendation and the Grievance Committee's recommendation will be sent to the president of the university for final resolution of the grievance.

(6) Grievance Procedure

- (6.1) The written grievance must be submitted to the provost's office within 120 calendar days of the most recent event(s) related to the grievance. Pursuit of informal resolution constitutes continuance of the event(s) related to the grievance.

The procedure begins when the grievant delivers in person, by email, or by U.S. Mail certified, return receipt requested, a written grievance to the Office of the Provost. Receipt of the grievance must be acknowledged in writing and dated by the Office of the Provost.

In his/her written grievance to the Office of the Provost, the faculty member shall provide their name and position and the name and position of all respondents, describe in less than 1,500 words the issues and actions that have resulted in the grievance, state in less than 500 words the outcome hoped for from the grievance, and submit any factual material pertinent to his/her case. No more than three grievable items may be included in a single individual grievance. While the scope of the initial grievance is established in the original written grievance, additional and supporting evidence related to the written appeal or grievance can be added at a later date in the process.

By filing, this and any other communication or documentation becomes a part of the grievance evidence. This evidence must be made immediately available to all parties including the grievant, the respondent, the representatives, and the Grievance Committee. The faculty member consents to the Grievance Committee having access to those materials and documents it deems relevant to the proceedings. The grievant and/or respondent(s) may voluntarily recuse themselves from having access to confidential materials and information should it allow for a more thorough review of the claim(s).

- (6.2) In accordance with the established timeline, the provost must forward a copy of the grievance to the respondent who must acknowledge receipt of the grievance in writing by signing and dating the acknowledgement.
- (6.3) In accordance with the established timeline, the respondent must submit to the provost a written and dated response to the grievance.
- (6.4) In accordance with the established timeline, the provost will instruct the grievant and the respondent to select their representatives to the Grievance Committee. If the provost should fail to instruct the grievant or the respondent within ten working days, the president of the Faculty Senate shall within three working days act for the provost in forwarding the grievance and instructing both parties to select their grievance committee representatives. They must notify the provost of their selection within ten working days. These representatives will observe the selection of the other members of the Grievance Committee as described in section 7.3 of this policy. The provost shall not be involved in the formulation of the final recommendation of the Grievance Committee.

- (6.5) If for any reason, either or both parties to the grievance do not select a representative within ten working days of notification by the provost, the provost will notify the president of the Faculty Senate who will select either or both of the representatives within an additional ten working days.
- (6.7) In no event shall any member of the Grievance Committee be related (including by marriage) to the grievant or the respondent. In the case where the grievance involves a decision regarding tenure or promotion, in no event shall any member of the Grievance Committee have also been a member of the grievant's peer committee or otherwise involved in the decision.

(7) Grievance Committee

- (7.1) The University Grievance Panel will serve as a pool for the selection of three voting members of the Grievance Committee. The Grievance Committee hears the particular grievance and makes a recommendation to the provost. The Grievance Committee is a non-adversarial body designed to make a fair conclusion based on a thorough investigation of the evidence.

(7.2) The Representatives

(7.2.1) One representative will be named by the grievant, a second member by the respondent. These two members will be designated as representatives of the parties involved in the grievance. The representatives are non-voting members of the Grievance Committee. Both of these representatives must be full-time faculty members who are eligible for election to the Faculty Senate. Neither representative is required to be a member of the University Grievance Panel.

(7.2.2) Where multiple grievants file a grievance or where multiple respondents named, the group of grievants or the group of respondents must select a single mutually acceptable representative. If the individuals cannot agree, the provost may decide to separate the grievance into multiple grievances.

(7.2.3) During the grievance process, the representative should act as the advocate of their designated party. The representative should be invited to all meetings and the hearing related to the grievance.

(7.3) Selection of the Grievance Committee

(7.3.1) In accordance with the timeline, the provost or provost designee randomly selects three names from the members from the University Grievance Panel who are not from the same college as the grievant or respondent(s) and not actively serving on another grievance to serve as the members of the Grievance Committee, in the presence of the two designated representatives. Once three names have been drawn, each representative may strike one name from the Grievance Committee list, if desired. If a name is struck, another name will be randomly selected to replace the stricken member(s). If for any reason one of the designated three Grievance Committee members decline to serve, the same process above will be used to randomly select a new member. If the provost and the faculty senate president both determine that a member of the grievance committee has a

conflict of interest with the grievant or respondent(s), that member may be removed by the provost and replaced by the same process above to randomly select a new member. Representatives only have one allowed strike throughout the entire process.

(7.3.2) Conflicts of interest should be determined and resolved by the faculty senate president and provost before the grievance committee first meets.

(7.4) Failure of Representatives to Participate

(7.4.1) If, for any reason or at any time, either representative cannot participate in the grievance procedure, or there is a need for the representative to be replaced, this representative will no longer be considered part of the grievance committee. The party without a representative shall choose a replacement representative within ten working days of notification of the representative's failure to participate.

(7.4.2) If the representative departs mid-process the replacement will follow the selection procedures in section 7.2 of this policy. The representative replacement may not be selected from the sitting Committee Members.

(7.4.3) If, for any reason or at any time, one of the three selected committee members is unable to participate, the replacement will follow the selection procedures in section 7.3 of this policy within the established timeline.

(8) Grievance Committee General Procedures

The Grievance Committee shall determine its own general procedures, subject to the restrictions stated in this Section and Section 9.

- (8.1) The two representatives will call the initial meeting where the grievance committee will select the chair. The committee shall select its own chair, but neither the representative of the grievant nor the representative of the respondent(s) shall serve as chair.
- (8.2) The grievant and the respondent will be asked by the chair of the Grievance Committee to submit all documents or exhibits that are to be considered by the grievance committee. Through the chairperson, the committee can request additional documents as a fact-finding effort that it believes are pertinent to the grievance.
- (8.3) If the committee decides that it is warranted, the committee will select a date, time and location for a formal hearing concerning the grievance. The chair of the committee will notify the provost, the grievant, and the respondent(s) giving them at least ten working days' notice before the scheduled hearing.
- (8.4) Any formal hearing must take place within 60 working days of the committee being selected. If no formal hearing is conducted, the final recommendation is due within 90 working days of the committee being selected. If a delay is necessary, the committee must inform the grievant and the respondent, in writing, of the reason for the delay and set a new deadline for the report.
- (8.5) After the hearing and due deliberation, the committee will make its recommendation on the grievance, and the reasons for it, in writing, to the provost or president as is most

appropriate. This shall be done even if the recommendation of the committee is to take no action.

(9) Grievance Committee Hearing and Recommendation to the Provost

The grievance hearing is not a formal legal proceeding. Either party may be assisted by other faculty members or legal counsel in preparing for the hearing. However, these other faculty members or legal counsel will not be allowed to be present at these proceedings unless they are requested to participate by the chair of the Grievance Committee.

The chair of the Grievance Committee will instruct the grievant and the respondent to submit all documents to be considered by the committee. The committee must receive these documents for consideration no later than five working days prior to the hearing.

The grievant and respondent will identify all witnesses that may be called upon by the committee to testify at the hearing and what relevant facts they may be able to contribute. The grievance committee may also call upon additional witnesses it feels will be pertinent to the grievance. The Chair of the Grievance Committee will be responsible for contacting these individuals to ascertain their willingness to participate in the hearing. No retaliatory action may be taken against any individual who chooses to appear or not to appear.

- (9.1) Evidence and Recording. The formal hearing will be recorded. The only persons who will have access to the recordings are the committee members, the grievant, the respondent(s), the provost, and the president of the university. The grievance file will be retained in the provost's office for three years following the completion of the grievance proceedings.
- (9.2) Executive Session. The Grievance Committee shall discuss and determine its recommendation in executive session. This executive session is for voting members of the committee only; the representatives may not be in attendance.
- (9.3) Informal Resolution. An informal resolution recommended by the Grievance Committee to the grievance remains possible until the Grievance Committee makes its final report. In part, the role of the representatives is to make possible continued mediation between the grievant and the respondent(s).
- (9.4) Grievance Committee Recommendation. The committee must make its recommendation to the provost, with copies to the grievant and the respondent by both campus and electronic mail, within 30 working days after the hearing is completed or 90 working days after representatives are chosen. The recommendation of the committee need not be unanimous, and members of both the majority and minority must issue a report of their recommendations.
- (9.5) If the committee cannot reach a unanimous decision, its division and the reasons for it must be expressed either in the report or in separate concurring or dissenting statements by individual members. All committee members should be aware of all concurring or dissenting statements before they are submitted. Once submitted with the main report to the provost, the grievant and respondent(s) receive copies of all concurring or dissenting statements.

If a delay is necessary, the committee must inform the grievant and respondent, in writing, of the reason for the delay and set a new deadline for the report.

(10) Provost Actions

- (10.1) The Grievance Committee's recommendation must be acknowledged in writing and dated by the provost. The provost must act on the grievance committee recommendation within fifteen working days of receipt of the Grievance Committee's recommendation.
- (10.2) The provost must provide a written response to the Grievance Committee's recommendation, either agreeing or disagreeing with it. If the provost disagrees with the Grievance Committee's recommendation, the provost must make a full explanation in writing, with reasons for the decision, and distribute it to the grievant, the respondent and the Grievance Committee. In either case, the provost's written response and the Grievance Committee's report will be distributed to the grievant, the respondent(s) and the Grievance Committee.
- (10.3) Within five to fifteen working days the provost will forward to the president of the university a copy of the Grievance Committee's recommendations along with the provost's written recommendation. The president must have the recommendation of both the provost and the Grievance Committee before making a decision. If the provost should fail to meet the deadline for forwarding the Grievance Committee's recommendations to the president, or fail to make a recommendation of their own, the Grievance Committee's report automatically goes to the president.

(11) President of the University Actions

Receipt of the provost's recommendation and the Grievance Committee's recommendation shall be acknowledged in writing and dated by the president. Within fifteen working days of receipt of the recommendations, the president must act. Agreement or disagreement with either the provost's or the Grievance Committee's recommendation must be in writing. In particular, if the Grievance Committee's recommendation is not followed, the president must provide a full explanation in writing. The president's decision, along with any necessary explanations, must be distributed to the grievant, the respondent, the Grievance Committee, and the provost.

(12) Rebuttals

- (12.1) The grievant or the respondent(s), upon receipt of recommendation and explanations from the Grievance Committee, is entitled to submit a rebuttal within five working days of receiving that recommendation. Such rebuttal shall be sent to the Provost office and shall be limited to errors of fact or procedure found in the recommendation.
- (12.2) Rebuttal letters from the grievant or respondent(s) shall be included in the file as it continues through the grievance process and should be considered at all subsequent levels of review.

(13) Prohibition of Discrimination and Retaliation

- (13.1) Nothing in this policy shall be used as a basis for discrimination or retaliation against any individual or group.

(13.2) No retaliatory action may be taken against any individual who files or assists with a grievance because of his or her involvement with the grievant.

(14) Adherence to Timelines

Any request for departure from the established timelines in this policy should be made in writing to the provost before the Grievance Committee is formed or to the chair of the Grievance Committee after the committee is formed. When the chair of the Grievance Committee receives such a request, the committee will determine the appropriate action to be taken. The accompanying Table in 14.1 of this policy describes the timeline for a formal grievance procedure.

(14.1) Timeline for Formal Grievance Procedure

Action	Timeline
Filing of grievance with provost	Within 120 calendar days from grieved event
Provost sends grievance to respondent	Within ten working days of prior action
Respondent replies to provost in writing	Within ten working days of prior action
Provost instructs parties to choose representatives	Within ten working days of prior action
Grievant and respondent choose representatives and notify provost	Within ten working days of prior action
Representatives choose three other members of the Grievance Committee	Within ten working days of prior action
Committee notifies parties of the hearing	At least ten working days before hearing
Hearing occurs if needed	Within 60 working days
Grievant and respondent submit documents to Grievance Committee	At least five working days before hearing
Grievance Committee recommendation to provost	Within 30 working days after the hearing or 90 working days after representatives chosen
(Optional) Rebuttal filed to grievance committee recommendation	Within 5 working days after recommendation to provost
Provost's recommendation to president of the university and response to the Grievance Committee	Within 5-15 working days of receipt of the Grievance Committee recommendation
President's decision to the grievant, the respondent, the Grievance Committee and the provost	Within 15 working days of receipt of the Provost's recommendation

(15) Grievance in Matters of Promotion and Tenure

(15.1) When a negative recommendation on conferring tenure or promotion has been reached at the level immediately prior to the President's decision (e.g., the letter written by the

Provost), the faculty member involved can file an appeal. Notice of intent to file an appeal must be provided to the Office of the Provost within 5 business days of the candidate notification from the Provost's Office of the recommendation of non-renewal of appointment, denial of tenure or denial of promotion.

- (15.2) Decisions to recommend not to confer tenure or not to promote may be appealed based upon the following three conditions:
- A. An error in the described procedures materially affected the outcome;
 - B. The decision was not based upon the applicable criteria included in the Promotion and Tenure File; or
 - C. The outcome was arbitrary, discriminatory, or capricious.
- (15.3) Faculty members who wish to file an appeal against a negative promotion or tenure recommendation must outline in their appeal letter, clearly and succinctly, the reason for the appeal. The reason for appeal must be linked to one (or more) of the three the criteria above. The appeal must be filed with the Office of the Provost within 10 business days of the candidate notification of the recommendation of non-renewal of appointment, denial of tenure, or denial of promotion. Upon receipt of intent to file an appeal, an appeal committee will be formed at the behest of the Provost by the Faculty Senate.
- (15.4) The P&T Appeal Committee will consist of 4 faculty members (one from each college). The four faculty will be drawn from the Faculty Grievance Panel. Every member of the committee shall be a full-time tenured faculty member at the rank at or above the rank of promotion requested by the candidate. If there are not enough members of the Faculty Grievance Panel of sufficient rank, the Council of Professors shall nominate a member to add to the Grievance Panel with the assent of the Faculty Senate Governance Committee. No current member of any committee evaluating the candidates (e.g. peer-review committee, university or college promotion and tenure committee) shall be eligible for membership on the P&T Appeal Committee. Faculty members of the P&T Appeal Committee will be selected by random draw as outlined in section 7.3.1. If possible, faculty members actively serving on an appeal should not be drawn for a second appeal, though this may be waived if there are insufficient eligible faculty of the required rank.
- (15.5) In the written appeal to the P&T Appeal Committee, the faculty member shall set forth in detail the nature of the appeal and shall submit material pertinent to the case. By filing, the faculty member consents to the P&T Appeal Committee having access to those materials and documents in the Promotion and Tenure File it deems relevant to the proceedings.
- (15.6) The P&T Appeal Committee shall then review the appeal and decide whether to reject the appeal or hold a formal hearing. The P&T Appeal Committee shall not substitute its judgment for that of the review bodies.
- (15.7) If the vote is in favor of rejecting the appeal, the appeal ends. This rejection will be sent to the Candidate, the Office of the Provost, and become part of the Promotion and Tenure File as it is forwarded to the President for review.
- (15.8) If the vote is to hold a formal hearing, the P&T Appeals Committee shall notify the faculty member of its decision to hold a formal hearing within 10 business days of receipt

of the appeal and documentation. The Committee can request additional information if needed. Any participation in the process is voluntary. Faculty and administration are expected to cooperate with the P&T Appeal Committee in providing reliable, relevant, and valid evidence for the committee to make an informed judgment.

- (15.9) The hearing shall begin within 10 business days of the decision to conduct it and shall proceed as expeditiously as possible. Decisions of the P&T Appeal Committee require a majority vote, but minority opinions must be represented in the final report if the minority so desires. All voting will be by secret ballot.
- (15.10) If the Committee is not able to reach a consensus, members of the Committee may write dissenting opinions, which shall be attached to the majority opinion.
- (15.11) A recommendation shall be sent in a written report to the Candidate and the Office of the Provost within five business days of the end of the hearing. The written report of the P&T Appeals Committee will also become part of the Promotion and Tenure File as it is forwarded to the President for review.
- (15.12) The President has the option to request the Provost provide a written opinion on the P&T Appeals Committee report. The Provost’s written opinion shall be sent to the Candidate and the Office of the President within five business days of the President’s request and will also become part of the Promotion and Tenure File.

(15.13) Promotion and Tenure Appeal Timeline

Action	Timeline
Candidate notifies Office of The Provost of intent to file a P&T Appeal.	Within 5 working days of receipt of the letter from the University P&T Committee (UPTC).
Office of Provost Alerts Faculty Senate President and Chair of Senate Governance Committee of need to form a P&T Appeals Committee.	Upon day of notification by the Candidate of intent to file an Appeal.
P & T Appeals Committee is formed	Within 5 working days of receipt of notification by the Candidate of intent to file an appeal
Candidate files their Appeal with the Office of the Provost. Provost office immediately forwards the letter to the Appeals Committee Members.	Within 10 working days of the letter from the UPTC.
P&T Appeals Committee reviews the appeal and decide to reject or hold a hearing. Notification sent to Candidate and Office of the Provost and becomes part of the Promotion and Tenure File.	Within 10 working days of receipt of the Appeal.
P&T Appeals Committee holds a hearing (if decision is to hold a hearing)	Within 10 working days of the notification of parties re: decision to hold a hearing
P&T Appeals Committee submits their report to the Candidate and Office of the Provost.	Within 5 working days of the hearing.

Intellectual Property

INTELLECTUAL PROPERTY POLICY (UH System Policy)

<http://www.uhsystem.edu/board-of-regents/policies/#BOR%20Policies%20Section%20III>
(Policy last updated 08/24/2017)

University research and intellectual endeavors often result in the invention of new technology or the creation of new copyrighted material. Such results may have commercial value. While the production of commercially valuable intellectual property is not necessarily the purpose of University research and educational activities, nor the duty of anyone engaged in research and educational activities, the Board desires that both society and the University under the governance of the Board use all knowledge to the greatest possible benefit. Accordingly, when appropriate, the University will protect all intellectual property rights in technology and copyrighted material and use diligent efforts to make productive use of such rights for the good of the public, the creator, and the System. When this result is achieved by the attraction of private risk capital, or by the transfer or licensing of rights in technology or copyrighted material, income may be realized, which the Board will seek to distribute in a manner fair both to the creator and to the University at which the intellectual property was developed. Financial return, however, always remains secondary and incidental to the public service aspect of developing and disseminating knowledge for public use. The Board hereby delegates authority to promulgate specific policies for managing Intellectual Property Rights to the Chancellor/President.

(1.0) Definitions

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

policy). Intellectual property rights include, but are not limited to patents, copyrights, and rights to trade secrets and know-how.

G. "Inventor" means any person who discovers or invents technology.

H. "Net income" means, with respect to Board-owned rights in any particular intellectual property and/or copyright, gross revenue received by the University as a result of the commercialization of such rights, less:

1. any taxes or other charges of any description paid by the University to governmental agencies in connection with the particular intellectual property; and
2. all legal and other expenses paid by the University to affiliates or third parties in filing, prosecuting, maintaining, enforcing, defending, and commercializing such rights in the United States or foreign countries.

I. "Net Sales" means the amount billed or invoiced on sales of licensed products and/or licensed services, less:

1. Customary trade, quantity or cash discounts, and non-affiliated brokers' or agents' commissions actually allowed and taken;
2. Amounts repaid or credited because of rejection or return; and
3. To the extent separately stated on purchase orders, invoices, or other documents of sale, taxes levied on and other governmental charges made as to production, sale, transportation, delivery, or use and paid by or on behalf of the creator.

J. "Person" means any part-time or full-time faculty or staff member working at, or student attending, the University or other entity under the governance of the Board.

K. "Chancellor/President" means the Chancellor/President of the University under the governance of the Board, or any person the Chancellor/President designates to carry out the University's intellectual property policy.

L. "Software" means any program, language, or procedure for a computer System or portion thereof, and any accompanying documentation. Software includes, but is not limited to, computer programs, internal programs, subroutines, assemblers, generators, subroutine libraries, compilers, operating Systems, and application programs.

M. "Technology" means discoveries, innovations, or inventions.

N. "University research" means all research, activities, or work within or related to a person's expertise or general area of employment responsibility, or that has resulted from activities performed by the person on University time, with the support of University funds or from using University facilities, including work under a research agreement with an external sponsor and research conducted by anyone, whether or not a person as defined in this policy, who utilizes University resources.

O. "University support" means direct University support which includes but is not limited to the following:

1. Equipment, materials, and staff services from any of a variety of University departments other than the person's academic department or unit are used in the development of copyrightable materials at no expense to the author or the author's academic department/unit.
2. Author receives support for the development of copyrightable material, such support

being in the form of money in excess of normal salary, reduced teaching load, released time, or other resources from a department, college, or any unit of the University.

(2.0) Standing Committee on Intellectual Property

A. Appointment. The Chancellor/President of the University shall appoint or specify the make-up of a Standing Committee on Intellectual Property.

B. Duties in General. In addition to the responsibilities described elsewhere in this policy, the committee will advise and recommend to the Chancellor/President:

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

(3.0) Technology: Patents, Trade Secrets, Know-How, Etc.

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

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

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

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

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

E. Action after Disclosure

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

1.1 institute action to acquire patent protection. The committee shall recommend whether the University should pursue such action itself or refer the technology to a management agency; or license the technology as know-how and/or a trade secret, whether or not it obtains patent protection;

1.2 transfer intellectual property rights in the technology to the research sponsor, if such transfer is required by a research agreement; or

1.3 waive ownership in the intellectual property rights in the technology in favor of the inventor with the University retaining 4% of net sales, should the inventor commercialize the technology that was disclosed. In addition, if the University had invested financial resources for legal protection of the technology prior to waiving ownership, the University shall recoup its legal fees and expenses from future revenues in addition to retaining 4% of net sales from the commercialization of the technology. It is noted, however, that any future improvements or modifications developed at the University are considered new inventions and the property of the University and subject to this policy. The 4% interest will be distributed 2% to the University, 1% to the Department(s) or Research Center based on research budget allocation and 1% to the College(s) based on research budget allocation.

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

3. The University will act in good faith and will attempt to evaluate all disclosures within a reasonable time.

The Standing Committee on Intellectual Property evaluates each disclosure, if adequate (see subsection following), within 30 days prior to the expiration of patent pendency for the provisional application. The Chancellor/President has an additional 30 days to act on the committee's recommendation. If either the committee or the Chancellor/President fails to act on the invention within the relevant time period specified above, the inventor may request, and in response thereto the University may grant, a waiver of the University's rights in favor of the inventor.

4. If the inventor fails to provide any information pertinent, in the committee's judgment, to evaluation of the disclosure, the disclosure is not "adequate." In such circumstances, the committee shall request the needed information from the inventor, and the calculation of the 120- and 60-day time periods specified in the foregoing subsection shall not begin until the requested information is received by the committee.

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

(4.0) Copyrights

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

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

1. University Supported Effort. When a work is created with financial support or resources of the University and the work is not prepared in accordance with the terms of a contract or grant in which the University is a party or as a specific University assignment, the University will own the copyright and the division of royalty and other income will be based on the Net Income Distribution included in this policy. Routine use, as sanctioned by University policy, of library, office space, equipment, supplies, facilities, and personnel within the author's department or college does not, for the purposes of this section, constitute University support.

2. Extramurally Sponsored Effort. Copyright in works developed with support from an outside agency through a contract or grant will be owned by the University. The Chancellor/President or his designee must approve deviations from the policy.

3. University Commissioned Efforts. Materials or other works produced by employees of the University will be subject to copyright exclusively by the University, if the University commissioned the employee to write or produce the specific materials or works. A faculty member's general obligation to produce scholarly and creative works and the receipt of a professional development leave, unless there is a specific agreement to the contrary, do not constitute University Commissioned Efforts as defined in this policy.

4. Student copyrights as a result of course work. The University claims no rights to works created by students in the course of their education, such as dissertations, papers and articles, if the student received no support from a research grant in the form of wages, salary, stipend or a grant from funds administered by the University. The University will own the copyright to works created by graduate students in the course of their assigned duties of employment, including duties as teaching or research assistant as part of an assigned task, where the assignment explicitly states that the work will be owned by the University.

5. Categorization issues. It is recognized that the boundaries among traditional forms of works of authorship may be difficult to apply to certain works in newer media. For example, the line between books and programmed instruction materials may not be apparent. For purposes of this policy, a work whose presentation and use are interactive (other than for purposes of searching the text or otherwise locating material, or for verifying correct answers) will be regarded as a computer program rather than a book. When questions of ownership arise, and until the dispute is resolved, it will be managed as though the University owns the copyright.

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

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

the author must prepare, sign, and date a copyright disclosure in the form promulgated by the University. The author must also include other pertinent data to show the medium of copyright.

D. Action after Disclosure

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

1.1 recommend whether the University should pursue commercialization action itself or refer the technology to a management agency; or license the copyrighted material;

1.2 transfer the rights in the copyright to the research sponsor, if such transfer is required by a research agreement; or

1.3 waive ownership in the copyright in favor of the author with the University retaining 4% of net sales, should the author commercialize the copyright that was disclosed. In addition, if the University had invested financial resources for legal protection of the copyrighted material prior to waiving ownership, the University shall recoup its legal fees and expenses from future revenues in addition to retaining 4% of net sales from the commercialization of the technology. It is noted, however, that any future improvements or modifications developed at the University are considered new copyrighted material and the property of the University and subject to this policy.

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

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

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

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

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

I. Apportionment Among Authors. When there is more than one author of a work, the shares to the respective authors shall be distributed in the proportions set forth on the disclosure form submitted to the Standing Committee on Intellectual Property. If no disclosure has been submitted, then by agreement between the authors, or in the absence of such agreement, the

proportions will be determined by the Chancellor/President after affording an opportunity for hearing those concerned.

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

(5.0) Commercialization of Board-Owned Intellectual Property and Copyrighted Material

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

(6.0) Net Income Distribution

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

B. Creator's Residual Economic Interest

1. 40% of Net Income shall be paid to the creator(s) thereof in the proportions set forth on the disclosure form submitted to the Standing Committee on Intellectual Property (in the case of patents and other technology) or on the title page of the copyrighted work.

2. Thereafter, unless the Standing Committee on Intellectual Property recommends, and the Chancellor/President adopts, a different distribution, the remaining Net Income derived from commercialization of the intellectual property rights shall be distributed as follows:

2.1 - 40% to the University;

2.2 - 13% to the creator(s) academic department(s) or research center(s) in proportion to the research budget allocations;

2.3 - 7% to the college(s) in proportion to the research budget allocation.

C. Time of Distributions. The sums referenced in the foregoing schedule shall be distributed annually to the creator(s) or the University as soon as practicable after the close of the fiscal year during which the income was received.

D. When equity, in the form of stocks, is received as part of the license agreement, the company shall be directed to issue 40% of the stocks to the creator(s) and the remainder of the stock shall be distributed to the University. For clarity, the creator's share of equity, in the form

of stocks, will be issued directly from the company and the creator shall not then be entitled to an additional 40% share of the remaining stock distributed to the University.

E. The distribution with the University shall be as follows:

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

1. If the University of Houston System or another component has contributed financially to the commercialization of the Intellectual Property, the Chancellor or his designee shall determine the equitable distribution of the University share;

2. Each component shall establish its own policies for internal distribution.

(7.0) Business Participation

A. Business Participation Approved. The Board does not discourage persons subject to this policy from participating in the commercial development and/or exploitation of Board-owned intellectual property. Nonetheless, such participation must conform in all respects to this policy, including the policy stated above concerning licenses and transfers to applicable state and federal laws, and University conflict of interest policies.

C. Specific Requirements. In particular, a person shall not engage in business participation if such participation would violate Board Policy 57.08, section 572.051, Texas Government Code, section 51.912, Texas Education Code, or other state or federal law or regulation that controls such participation.

Policy on University Development Activities

DEVELOPMENT POLICY

Revised August 6, 2013

Policy 10.7

(1.0) Purpose

Increasing the academic and programmatic strength of the University of Houston-Clear Lake by attracting resources and funds from private sources is a major institutional objective. To accomplish this successfully, all development efforts of the University must be well coordinated. At the University of Houston-Clear Lake, the Office of the President is responsible for coordinating all solicitation efforts by University personnel for funding from private sources. These sources include corporations, businesses, associations, foundations, and individuals. Institution-wide development efforts are initiated and coordinated by the Office of University Advancement under the direction of the Office of the President. The University of Houston System through the Vice Chancellor for Institutional Advancement serves as the central coordinating point for solicitation and administration of contributions from all campuses comprising the System. Therefore, development efforts (solicitations and gift income reporting procedures) must conform to the requirements of the University of Houston System. The President must approve all private fund-raising plans prior to any solicitation effort. The President has delegated day-to-day responsibilities for the application and approval process to the Office of University Advancement which has the prime responsibility within the President's office for managing the overall development efforts of the University. Efforts requiring substantial assistance must be submitted for approval by the President's office through the Office of University Advancement. Prior to its submission they must be approved by the appropriate Vice President or Dean. Priorities within their respective areas of responsibility must also be approved by the appropriate Vice President or Dean.

(2.0) Responsibilities of Key Offices

Responsibilities of the various components of the University of Houston System and the University of Houston-Clear Lake on matters of University Advancement are as follows:

(2.1) University of Houston System

The University of Houston System through the Office of the Vice-Chancellor for University Advancement serves as the central coordinating point for the solicitation and coordination of contributions and gifts from all University of Houston campuses comprising the System. Within the Vice Chancellor's office, the Office of Donor and Alumni has the primary function of recording all gifts from private sources, both restricted and unrestricted, and maintaining current files on all donors and pertinent information about them. This office is also responsible for issuing official receipts for all gifts, processing matching gifts and preparing the gift reports for the Board of Regents.

(2.2) Office of the President, UH-Clear Lake

The Office of the President has the ultimate responsibility for direction and coordination of solicitation efforts for contributions from private sources for all personnel employed by the University of Houston-Clear Lake. To this end, the President as designated the Office of University Advancement which is part of the Office of the President, as the central coordinating mechanism for University-wide development efforts. This includes the responsibility of reporting all UH-Clear Lake contributions and gifts to the University of Houston System, which in turn prepares reports to be presented to the Board of Regents and other appropriate University personnel.

Office of University Advancement

The Office of University Advancement is designated by the President to coordinate all University development activity with private sources. The Office of University Advancement will keep records of all transactions and related correspondence regarding the development efforts of the University. The Associate Vice President for University Advancement is the initial point of contact for all inquiries for members of the University's faculty and staff. The development functions of this office are as follows:

(2.2.1) Create and implement institution-wide development efforts.

(2.2.2) Serve as a coordinating point for all development efforts of the University of Houston-Clear Lake.

(2.2.3) Serve as a reporting mechanism to the University of Houston System Vice Chancellor for Institutional Advancement and the UH-Clear Lake's Vice President for Administration and Finance.

(2.2.4) Provide solicitation expertise to development efforts approved by the President.

(2.2.5) Serve as an information resource base regarding gifts/contributions, donor profiles, and related topics.

(2.2.6) Develop procedures to implement the University's development policy.

(2.3) Office of the Vice President for Administration and Finance

The Office of the Vice President for Administration and Finance at the University of Houston-Clear Lake has the fiduciary responsibility regarding all contributions/gifts to the University. All

contributions/gifts received and reported to the Office of University Advancement will be transferred with the appropriate paperwork to the University of Houston System for processing and deposit unless otherwise designated. All gifts-in-kind that involve future expenditures for upkeep, maintenance, or installation must be approved by the Vice President for Administration and Finance prior to their acceptance.

(3.0) Contributions Policy

In order to facilitate a comprehensive and coordinated approach to development efforts of the University of Houston-Clear Lake, as well as fulfill the reporting requirements of the University of Houston System, the University personnel must adhere to the following guidelines. For the purpose of this policy statement, gifts/contributions are to be defined as a voluntary transfer of real or personal property without compensation. All gifts to the University of Houston-Clear Lake (restricted and unrestricted cash, checks, securities, gifts-in-kind, grants, scholarships, endowments, and all other forms not herein described from any college/program or entity) are to be reported to the Office of University Advancement in accordance with the following guidelines:

(3.1) All development plans of the University must be approved, prior to their implementation, by the President and all development plans, prior to their submission to the President must be approved by the appropriate Vice President or Dean.

(3.2) University personnel shall deliver to the Office of University Advancement all information regarding contributions, checks, accompanying letters, restrictions, donor information, and any other pertinent data derived from fund-raising activity, after the President's approval of the basic plan.

(3.3) Should the contribution be a matchable gift, the college, program or office receiving the gift must remit to the Office of University Advancement information regarding the original gift and the completed original matching gift form (if applicable) as supplied by the donor. Many companies which match gifts have online forms to be completed by the donor.

(3.4) All offers of gifts-in-kind especially those which may involve future expenditures for upkeep, maintenance, installation and so forth must be approved prior to their acceptance by the appropriate supervisor and the Vice President for Administration and Finance. The burden of determining the value of these gifts for tax purposes devolves on the donor.

(3.5) All gifts designated for the University of Houston-Clear Lake Alumni Association or function thereof shall be delivered directly to the Office University Advancement. All related correspondence, donor information, and completed matching gift form (if a matchable gift) must accompany the original gift for deposit.

(3.6) All gifts of securities shall be delivered to the Office of University Advancement immediately or not later than the business day following their receipt. Additional information required for the processing of these gifts includes permission to sell stock or statement as to retention, the desired use of the proceeds (if restricted), and proper signature on stock certificates.

(3.7) A special fund shall be established within the Office of the President to receive all unrestricted gifts to be reallocated at the President's discretion to the appropriate subunit receiving the gift and for other University projects.

(3.8) All plans for deferred giving must be approved by the President prior to their acceptance.

(4.0) Acknowledgement Letters

The following are guidelines for acknowledging gifts:

(4.1) The Office of University Advancement shall coordinate acknowledgment of all gifts.

(4.2) The administrative subunit receiving the gift shall acknowledge its receipt and send a copy of the correspondence to appropriate officials within respective components and the Office of University Advancement.

(4.3) Other entities which benefit from a particular gift shall also make an acknowledgment and forward a copy to the Office of University Advancement.

(4.4) The President shall acknowledge all gifts valued at more than \$1,000.00. The Associate Vice President for University Advancement acknowledges all gifts valued at \$100 through \$1,000. The Associate Vice President of University Advancement shall entertain special requests for letters of acknowledgment for gifts below \$100.00 in value.

General Administration Policies

The University of Houston Clear Lake provides a comprehensive list of all Memorandums of Administrative Polices (MAPs) and applicable System Administrative Memorandums (SAMs) on a dedicated policies webpage. While individual links are provided below, please be encouraged to access this site as a resource:

<https://www.uhcl.edu/policies/>

Administrative Memorandum System

SAM 01.A.01

Approved 11/18/2019

https://uhsystem.edu/compliance-ethics/_docs/sam/01/1a1.pdf

Affirmative Action

MAP 01.D.04

5/12/12

<https://www.uhcl.edu/policies/documents/human-resources/equal-employment-opportunity-affirmative-action-program.pdf>

Equal Opportunity and Non-Discrimination Statement

MAP 01.D.05

5/12/12

<https://www.uhcl.edu/policies/documents/human-resources/equal-employment-opportunity-affirmative-action-program.pdf>

Anti-Discrimination Policy

SAM 01.D.07

5/13/2022

https://uhsystem.edu/compliance-ethics/_docs/sam/01/1d71.pdf

Non-Discrimination Compliance Policy

SAM 01.D.14

5/02/2019

https://uhsystem.edu/compliance-ethics/_docs/sam/01/1d14.pdf

Sexual Misconduct Policy

SAM 01.D.08

9/21/2021

https://uhsystem.edu/compliance-ethics/_docs/sam/01/1d8.pdf

Protection of Confidential Information

SAM 01.D.06

6/5/2012

https://uhsystem.edu/compliance-ethics/_docs/sam/01/1d6.pdf

Open Records

SAM 03.H.02

12/20/19

https://uhsystem.edu/compliance-ethics/_docs/sam/03/3h2.pdf

Student Academic Accommodations

SAM 01.D.09

8/23/2021

https://uhsystem.edu/compliance-ethics/_docs/sam/01/1d9.pdf

Use of Space and Facilities

MAP 01.B.06

Approved 5/8/14

<https://www.uhcl.edu/policies/documents/administration/facilitiesusepolicy.PDF>

Freedom of Expression

MAP 01.D.15

1/23/2021

<https://www.uhcl.edu/policies/documents/administration/freedom-of-expression-policy.pdf>

Public Safety

MAP 01.F.01

5/15/2019

https://uhsystem.edu/compliance-ethics/_docs/sam/01/1f1.pdf

Electronic and Information Resources Accessibility

SAM 01.D.13

4/4/2019

https://uhsystem.edu/compliance-ethics/_docs/sam/01/1d13.pdf

Drug and Alcohol Prevention Policy

<https://www.uhcl.edu/policies/documents/administration/drug-alcohol-abuse-prevention-policy.pdf>

Tobacco-Free Campus Policy

<https://www.uhcl.edu/policies/documents/administration/tobacco-free-2018.pdf>

Human Resources and Benefits

Below is a selection of primary policies. A full list of policies is available at

<https://www.uhcl.edu/policies/administrative-policies-procedures/human-resources>

Employee Relations, Grievance, and Appeal

MAP 02.A.05

5/27/2020

<https://www.uhcl.edu/human-resources/documents/forms/employee-relations-grievance-and-appeal.pdf>

Consulting and Paid Professional Service

MAP 02.S.08

6/18/2021

<https://www.uhcl.edu/policies/documents/human-resources/consulting-outside-employment-policy.pdf>

Hours of Work

MAP 02.A.20

7/20/2021

<https://www.uhcl.edu/policies/documents/human-resources/hours-work.pdf>

Employment of Foreign Nationals

MAP 02.A.33

6/18/2021

<https://www.uhcl.edu/policies/documents/human-resources/employment-of-foreign-nationals.pdf>

Employee Benefits Programs

SAM 02.C.01

5/27/2021

https://uhsystem.edu/compliance-ethics/_docs/sam/02/2c1.pdf

Supplemental Retirement Programs

SAM 02.C.02

5/27/2021

https://uhsystem.edu/compliance-ethics/_docs/sam/02/2c2.pdf

Family and Medical Leave

MAP 02.D.06

6/18/21

<https://www.uhcl.edu/policies/documents/human-resources/family-medical-leave-act-policy.pdf>

Parental Leave

MAP 02.D.08

7/9/2021

<https://www.uhcl.edu/policies/documents/human-resources/parental-leave-policy.pdf>

Holidays

SAM 02.E.03

11/11/2021

https://uhsystem.edu/compliance-ethics/_docs/sam/02/2e3.pdf

Reasonable Workplace Accommodations Employees with Disabilities

SAM 02.E.09

11/11/2021

https://uhsystem.edu/compliance-ethics/_docs/sam/02/2e9.pdf

Employee Time and Reporting

MAP 02.F.03

04/08/2021

<https://www.uhcl.edu/policies/documents/human-resources/employee-time-effort-reporting.pdf>

As noted at the beginning of this policy section, a comprehensive list of SAMs and MAPs are available on the UHCL Policies, Standards, and Guidelines webpage:

<https://www.uhcl.edu/policies/>

Supports, Services, and Supplemental Information

PROVOST'S RESOURCES

The UHCL Provost webpage houses records of Academic Affairs communications, Faculty Resources, the Academic Affairs Academic Calendar, as well as other information:

<https://www.uhcl.edu/provost/>

FACULTY SENATE

<https://www.uhcl.edu/faculty-staff/faculty-senate/>

NEUMANN LIBRARY

UHCL's Alfred R. Neumann Library (www.uhcl.edu/library), named after the university's founding chancellor, provides students with online access to thousands of books, journals, and scholarly resources. UHCL librarians offer personal research assistance to students and instruction on navigating search interfaces, retrieving information and evaluating information for use in scholarly research. Visit with librarians in person, or contact them by phone at 281-283-3910, by text at 281-816-4341, or by email at library@uhcl.edu. Visitors can receive help formulating effective search queries and identifying the best online resources from a collection of more than 216 subscription-only databases, most with full-text articles. Classes are available in research procedures tailored to particular courses. The library classroom is equipped with laptops and interactive learning devices so that students may participate in an engaging hands-on learning environment. Students may also make appointments with librarians to explore more in-depth instruction on library research strategies in a comfortable and educational one-on-one environment.

UHCL students, faculty and staff may also borrow books from UH and UH-Downtown quickly and easily through the shared discovery tool: OneSearch. The TexShare card, available upon request in Neumann Library, allows a UHCL student to borrow books from most academic or public libraries in Texas. The library's interlibrary loan

service will borrow requested materials from any library in the country through a national interlibrary loan network. Neumann Library offers 43 PCs and 4 iMacs for student use.

The library occupies approximately 80,000 square feet in the Bayou Building and contains collaborative study areas, laptop-friendly study space, group and individual study rooms and a presentation-practice room. The library contains more than 495,000 volumes and 585,000 e-books and provides access to more than 91,000 e-journals. The library has a collection of international films on DVD and subscribes to several educational video databases, which offer up to 100,000 streaming videos. A curriculum library for education students contain selected K-12 textbooks and classic and contemporary children's literature in print and audio.

In addition to the university collections, Neumann Library Archives & Special Collections department includes the NASA Johnson Space Center History Collection, materials related to human space flight and Clear Lake history. These materials are open for research to UHCL students, alumni, faculty, staff and the general public.

OFFICE OF INFORMATION TECHNOLOGY

For current information, please visit: <https://www.uhcl.edu/computing/>

The OIT Support Center serves as the first point of contact for all computing and telecommunications needs. Individuals may drop in at the center Monday through Thursday, 8 a.m. – 10:30 p.m., Friday and Saturday, 8 a.m. – 5 p.m. in the Bayou Building, Suite B2300, or contact the center by phone at 281-283-2828 or email supportcenter@uhcl.edu. Visit www.uhcl.edu/uct for details on available services, including documentation, self-help guides and policies. Computing and telecommunications resources available to students, faculty and staff include:

Email accounts; Various technology orientations and training programs including online software training, student lab orientation, new student, faculty and staff orientations, computer use training, faculty orientation for classroom technology and Blackboard training for faculty; Wireless-equipped laptops may be checked out for free from several convenient locations on campus; Academic computing labs for students, in multiple locations, open daily including weekends. Printers and photo/document scanners available in all labs. Lab hours and locations can be found at www.uhcl.edu/uct; Specialized teaching labs including PC labs for students to work in teams, a high-performance PC lab for special graphic application usage, and a Mac lab equipped with 24-inch iMacs for video editing/creating, digital graphics and photography classes; University classrooms equipped with integrated video and audio technology; Support for online students using the Blackboard Course Management System; Support for faculty in instructional design of online courses as well as for web-enhanced instruction; Server support for university website (www.uhcl.edu); Wireless access in all campus classroom buildings; High-speed network for data, video and internet access; Industry-recognized applications to block spam and intercept virus attacks on all university-owned computers; Secure remote access to campus resources via Virtual Private Network or VPN; Software purchase program for current faculty, staff and students that includes Microsoft and Adobe products; Access to Qualtrics and Gartner; Cisco VoIP telecommunications system for voice communications, including voicemail and fax service for faculty and staff.

STUDENT SERVICES

Student Life Policies July, 1997

(1.0) Career and Counseling Services

Counseling and Testing Services are designed to help students improve personal, academic and professional skills related to academic success. Counseling Services offers personal and group counseling, academic skills training, testing (GRE, GMAT, MAT, MCAT, TASP), workshops and vocational testing and counseling.

(2.0) Career Services

Career Services assists students in establishing or advancing careers in their degree fields and in finding jobs while they are enrolled in college. Career Services offers job search assistance, mock interviews and resume critiques, resume referrals and online job listings.

(3.0) Cooperative Education

Cooperative Education is a planned learning experience designed to prepare students for careers by integrating work experience with academic study. The UHCL Co-op Program offers two work plans. The alternating plan allows students to alternate semesters of full-time classes with cooperative education work experiences. The parallel plan allows students to work part-time while attending classes.

Students must be degree seeking and meet academic eligibility requirements as defined by individual colleges. Cooperative Education offers a way to make money while in college, a way to gain on the job experience, flexible work schedules and opportunities in many areas of interest.

(4.0) Dean of Students

The Office of the Associate Vice President for Student Services and Dean of Students provides students with advocacy, information and help with any phase of campus life. The Dean of Students is responsible for interpreting and implementing student life policies, resolving disputes and disciplinary problems, and handling student-to-student grievances. The rights and responsibilities of students are published in Student Life Policies. Standards of student conduct are enforced to ensure the safety of individuals, protection of property, and the continuity of the educational process. Copies of Student Life Policies are available from the Office of the Dean of Students and the Student Life Office.

(5.0) Health and Disability Services

The Health Center serves students, staff and faculty by fulfilling two primary functions. Programs and services encouraging the prevention of illness, promotion of health and participation in the university experience; and Providing emergency services and short-term medical treatment.

(6.0) Accessibility Services

Disability Services actively addresses and promotes disability awareness within the UHCL campus community through programs and services designed to meet the academic and professional needs of individuals with disabilities.

(7.0) Student Diversity, Equity and Inclusion

The mission of the Office of Student Diversity, Equity and Inclusion is to assist students to become successful, well-rounded, educated, and accepting individuals. Programs and activities are offered to promote cultural pluralism and help meet the academic, cultural and personal needs of students from diverse cultural backgrounds. The Office also provides advocacy and support to all students. Program and services are available at no cost to any student.

International Student Support Services provide programs and services to help address students' individual, cultural and social needs. The International Student Services Coordinator works with individual students to ensure that their needs are being met and that they make a smooth transition to university life at UHCL.

(8.0) Student Information and Assistance

SIAO, located across from the cafeteria, serves as the general information center, coordinates New Student Orientation and facilitates UHCL's scholarship program. Student, faculty, staff and visitors can find information regarding admissions procedures, campus events and directions to offices and departments. New Student Orientation is sponsored at the beginning of each semester, orientating new students to the overall campus community. SIAO recruits and trains 40 student leaders to serve as hosts to their peers while gaining valuable leadership skills. SIAO acts as the clearinghouse for all scholarship information, advertises available awards, maintains over 90 accounts and offers several scholarship workshops to interested students.

(9.0) Student Involvement and Leadership Office

The Student Involvement and Leadership Office provides programs and services that enrich and support students' educational experiences at UHCL. Areas of specialization include student organizations, student government, cultural arts, women's resources, intramural sports, student publications and university-wide programming. Services provided throughout the office include ID operation, locker rentals, drop-off service, camping rentals, vending machine refunds, posting approval and ticket sales.

University Police

The University of Houston-Clear Lake Police Department is responsible for law enforcement, security and emergency response at UHCL, UHCL Pearland, and UHCL Texas Medical Center. The UHCL police serve the university community and visitors alike through law enforcement, crime prevention, traffic control and public assistance programs. The department enforces all university regulations as well as local and state laws.

The department is located at 700 Bayou Rd., across from Parking Lot D, behind the Bayou Building. Security services are available 24 hours a day, seven days a week by calling 281-283-2222. Trained, professional police and communications officers staff the department. The university police provide the following services: lock-shop services including card access and keys, vehicle unlocks, vehicle jumpstarts, airing deflated tires and safety escorts to your vehicle and safety classes. To report an on-campus crime or any emergency, call the University Police Department at 281-283-2222 from off-campus telephones or 2222 from on-campus telephones. For special announcements, emergency closings and other information, call the UHCL Hotline at 281-283-2221 or visit www.uhcl.edu/emergency. For a complete overview of the University Police Department and its services, visit www.uhcl.edu/police.

Emergency Management & Fire Safety and Environmental Health and Safety are also Part of the UHCL Police Department. Emergency Management and Fire Safety coordinates university and community resources to protect lives, property and the environment through mitigation, preparedness, response and recovery from all natural and man-made hazards that may impact the campus. Environmental Health & Safety focusses on environmental protection, general safety, lab safety, and safety training.

Parking

Parking is handled by the UHCL Parking Department. To purchase a student, faculty or staff permit, visit <http://uhclparking.t2hosted.com>. Guest passes may be purchased at kiosks located throughout campus. For more information, contact the Parking Department at 281-283-2277, email parking@uhcl.edu or visit www.uhcl.edu/parking.

UH System and UHCL Administration

UH SYSTEM BOARD OF REGENTS

Chairman, Board of Regents
Vice Chairman, Board of Regents
Secretary, Board of Regents

Tilman J. Fertitta
Jack B. Moore
Durga D. Agrawal

Member(s) with terms set to expire August 31, 2023

Doug Brooks
Jack B. Moore
Steve I. Chazen

Member(s) with terms set to expire August 31, 2025

Durga D. Agrawal
Alonzo Cantu
John A. McCall Jr.

Member(S) with terms set to expire August 31, 2025

Tilman J. Fertitta
Beth Madison
Ricky Raven

Member(s) with terms set to expire May 31, 2023

Edward Carrizales

UH SYSTEM INSTITUTION PRESIDENTS

Renu Khator, Chancellor, UH System and President of the University of Houston
Richard Walker, President, University of Houston-Clear
Lake
Leon Blanchard, President, University of Houston-Downtown
Robert K. Glenn, President, University of Houston-Victoria

UNIVERSITY OF HOUSTON-CLEAR LAKE ADMINISTRATION

President	Richard Walker
Executive Assistant to the President	Berenice Webster
Senior Vice President for Academic Affairs and Provost	Christopher Maynard
Vice President for Administration and Finance	Mark Denney
Interim, Vice President for Strategic Enrollment Management	Kara Hadley-Shakya
Interim, Vice President for Student Affairs	
Vice President for University Advancement	Joseph L. Staley
Associate Vice President for Academic Affairs	Kathryn Matthew
Associate Vice President for Facilities Management and Construction	
Associate Vice President for Global Learning and Strategy/Senior International Officer	Gigi Do
Associate Vice President for Information Technology/Chief Information Officer	LeeBrian Gaskins

Associate Vice President for Student Success and Initiatives	Timothy Richardson
Associate Vice President/Chief Operations Officer, UHCL Pearland Campus	Beth Lewis
Chief of Police	Russell Miller
Chief Strategy Officer	Kevin Wooten
Dean, College of Business	Edward Waller
Associate Dean, College of Business	Troy Voelker
Dean, College of Education	Joan Pedro
Associate Dean, College of Education	Terry Shepherd
Dean, College of Human Sciences and Humanities.	Glenn Sanford
Interim Associate Dean, College of Human Sciences and Humanities	
Dean, College of Science and Engineering.	Miguel Gonzalez
Interim Associate Dean, College of Science and Engineering	David Garrison
Dean of Students	David Rachita
Registrar	
University Director of Compliance	Yolanda Nimmer-Williams
Title IX and Equal Opportunity Officer	David Brittain, Jr.
Chief Diversity and Inclusion Officer	Brice Yates
Faculty Affairs Administrative Fellow	Heather Kanenberg
Quality Enhance Plan Faculty Fellow	Leroy Robinson

Overview of UHCL

The University Campus

UHCL's buildings are surrounded by a 524-acre natural environment. The campus features picturesque, park-like settings with Horsepen Bayou winding through heavily wooded areas abundant with wildlife.

The Arbor Building houses painting, ceramics, weaving and photography studios, as well as educational centers, teaching methods labs and psychology facilities, notably UHCL's Center for Autism & Development Disabilities.

The Bayou Building houses the majority of classrooms, administrative and faculty offices, the library, alumni relations, cafeteria, computing services and laboratories, copy services, mailroom and Bayou Theater. It is also home to the Center for Executive Education, Center for Professional Development of Teachers and other research activities.

The Central Services Building is headquarters for building maintenance, grounds and custodial services, scheduling and space planning, and vehicle maintenance. The UHCL Police Department is located next to Central Services.

The Delta Building houses student computer laboratories, classrooms and computing faculty offices. It is home to UHCL's Cyber Security Institute and Center for Robotics Software.

The Student Services and Classroom Building accommodates five categories of functions including enrollment management, health, Counseling, academic support and Veteran Services. The one-stop

Student Assistance Center provides enrollment, registration, fee payment, financial aid, and scholarship services.

UHCL'S Environmental Institute of Houston is located in North Office Annex 1, just off Entrance 3 adjacent Parking Lot D.

In 2007, the Texas Higher Education Coordinating Board approved creation of UH-Clear Lake at Pearland. Located at 1200 Pearland Parkway, the new campus was developed as a partnership between UHCL and the city of Pearland to improve access to higher education for Pearland-area residents. In 2009, construction began on a facility that featured eight media-equipped classrooms, two teaching labs, library and other student resources. Classes began in fall 2010, with more than 600 students enrolling in degree programs such as accounting, business, criminology, education, nursing and psychology.

The STEM and Classroom Building houses classroom and lab space for science, technology and mechanical engineering. A three-story section is home to offices, computer labs and 100-seat tiered lecture hall.

The Recreation and Wellness Center includes academic and recreational wings, open study spaces, casual seating, food service and private study rooms. An indoor, elevated three-lane running track provides runners a campus view while overlooking two regulation-sized basketball courts and a multi-activity court for indoor soccer, hockey and other sports. It also features weight and cardio rooms, two multipurpose rooms for yoga and other exercises as well as three teaching labs and two classrooms. Also, it is home to UHCL's Exercise and Nutritional Health Institute.

The Health Sciences and Classroom Building on the UHCL Pearland Campus opened in May 2019. The Health Sciences and Classroom Building will provide several mid-to-large sized classrooms, including a 100-seat tiered lecture hall, two science teaching labs, a suite specifically design for the RN-to-BSN program, faculty offices, suite for a satellite operation of the UHCL Center for Autism & Development Disabilities program, and a suite for the Licensed Professional Counselors program. This is the second building on the UHCL Pearland Campus, and will provide much needed student study/ social/lounge space and a small food services area.

University Forest Apartments is a privately owned and managed apartment complex built in 1995 on the campus of the university. This 136-unit student housing facility is a two-story complex that includes a central courtyard with clubhouse, laundry facility, swimming pool, jacuzzi, sand volleyball court, barbecue grills, and picnic and lounge areas.

Construction began in summer 2018 on a 297-bed on-campus student housing building that will be immediately adjacent to the new Recreation and Wellness Center. The student housing project will be completed and ready for occupancy in fall 2019.

