# Interim Non-Tenure Track (NTT) Faculty Policy

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(Approved by the Office of the Provost, July 18th 2016)
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The following materials are dedicated to all aspects of non-tenure track (NTT) faculty employment. To the extent that the Faculty Handbook contains references to NTT faculty in its content which differ or suggest a conflict or ambiguity in interpretation, the following NTT faculty provisions govern. Implementation of this new NTT policy and the provisions of the associated “grand-fathering” document will be phased in over one calendar year beginning in the fall semester of 2016. This one year transition period will allow departments/colleges time, if required, to align their existing policies and procedures with the new university-level NTT policy. In addition, all title changes, clarification of roles and responsibilities and the transfer (or not) of existing NTT faculty members to the promotion-eligible career pathway must be made by the end of the one year transition period. Any questions arising over reconciliation of academic policy and procedure as described in this document shall be within the discretion of the Office of the Provost to decide and to render guidance as deemed appropriate.

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

The following ranks are NTT appointments. Other titles may be utilized by a college only with the permission of the Office of the Senior Vice Chancellor/Senior Vice President for Academic Affairs and Provost. Departments or colleges may deviate from these titles as necessary to comply with applicable national accreditation standards with the permission of the Office of the Provost. In all cases, it is the responsibility of the colleges and departments to comply with faculty credentialing guidelines promulgated by the Commission on Colleges, Southern Association of Colleges and Schools (SACS COC). It is the responsibility of the institution to document, demonstrate, and justify the qualifications of all faculty members to satisfy accreditation requirements.

1. Visiting Faculty
2. Lecturing Faculty
3. Research Scientist
4. Adjunct Faculty
5. Librarians (non-continuing and continuing as defined within Librarian Bylaws)
6. Instructional Faculty
7. Clinical Faculty
8. Research Faculty

**NTT Faculty Classifications**

The NTT faculty is comprised of two primary types of positions, those NTT faculty positions which are on a promotion-eligible (PE) pathway, and those NTT faculty positions which are on a non-promotion eligible (NPE) pathway.

The graphic below details the various faculty position titles available for use by the three major faculty career tracks (i.e. tenured/tenure-track, promotion-eligible NTT and non-promotion eligible NTT). Further details on the specific roles, rights and responsibilities afforded these faculty titles can be found later in this document. Individuals for whom teaching classes is a significant part of their job assignment will be assigned faculty titles, not staff titles, as appropriate (complete definitions can be found later in this policy).
NTT Faculty Position Approval and Search Procedures

The establishment of tenured/tenure-track faculty lines, NTT faculty lines and librarian lines is the responsibility of the Office of the Provost. Responsibility for appointments to the faculty rests primarily with the department and the college with the approval of the Office of the Provost. Appointments to non-promotion eligible, NTT faculty positions follow regular departmental, college, and campus procedures and must be posted with the Texas Workforce Commission (TWC) if external candidates are considered for the position per state requirements. Appointments of all other faculty positions (both tenured/tenure-track and promotion-eligible NTT) and librarians are made according to written procedures approved by the Office of the Provost.

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

In those instances where the appointee is to fill a distinguished or named chair, or is to serve as department chair/director or head, there will be prior consultation with the Office of the Provost as to the conditions and nature of the search. Normally, department chair/director positions are reserved for tenured faculty. Exceptions to this practice, if any, may be allowed with the review and approval of the Office of the Provost.

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

**Required Elements in College and Department Bylaws**

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

Definitions of the various classes of benefits eligible faculty members including NTT faculty;

Rules regarding the voting rights for each class of faculty members such as hiring, retention, promotion, curricular revisions, and other faculty matters; all full-time faculty (tenured, tenure-track and NTT faculty in promotion-eligible positions) will have voting rights. NTT faculty will not vote on issues pertaining to hiring, tenure and promotion of tenure-track faculty or on other tenure-track issues.

*NTT faculty will have voting rights concerning hiring and promotion of NTT faculty. All faculty members (tenured, tenure-track and NTT faculty in promotion-eligible positions) will have voting rights in the professional domains in which they have responsibilities. Except as noted elsewhere in the NTT faculty policy, all NTT faculty in promotion-eligible pathways shall be entitled to participate in university, college and department level governance on all matters other than voting on tenure and the appointment and reappointment of tenure-track faculty.*

*For faculty hiring decisions, a process shall be established which provides for the collection of written faculty evaluation and advisory recommendation to the department chair/director and/or dean regarding selection and hiring of prospective candidates. This process, ordinarily, would be handled by an appropriate department or college search committee. In searches for NTT promotion-eligible faculty, the search committee should include at least one NTT promotion-eligible faculty member at a higher rank than the posted faculty position and ideally drawn from the same program area. In the case where no other NTT faculty members of higher rank exist in the department or college, a department or college may find a suitable alternate from another department or college within the University or can consider waiving this requirement with the approval of the Office of the Provost.*
Rules regarding the participation of each type of faculty member (i.e. tenured, tenure-track and NTT faculty in promotion-eligible positions) on committees and task forces;

Procedures for the selection, tenure, review, and retention of department chairs (See http://www.uh.edu/provost/policies/faculty/dept-chair-roles/) and deans;

Rules regarding the timing of and criteria for calling regular faculty meetings;

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

The faculty role in promotion, tenure, and post-tenure review; Promotion and tenure decisions for tenured and tenure-track faculty will be governed by the promotion and tenure guidelines detailed elsewhere in the Faculty Handbook. Continued employment agreement and promotion decisions for NTT faculty (instructional, clinical and research faculty) will be governed by guidelines detailed elsewhere in this policy. Continued employment agreement and promotion reviews will be conducted by the existing departmental/academic unit and college level promotion and tenure committees with the addition of at least one NTT faculty member(s) at each committee level who must be present for consideration of reviews for instructional faculty, clinical faculty, and research faculty.

NTT faculty serving on promotion committees should be of higher faculty rank than the candidate and ideally be drawn from the same program area as the candidate for promotion. NTT committee members will not participate in tenure-related or post-tenure reviews. In the case where no other NTT faculty members of higher rank exist in the department or college, a department or college may find a suitable alternate from another department or college within the University or consider waiving this requirement with the approval of the Office of the Provost.

The criteria and procedures for promotion & tenure of tenure-track faculty, and promotion and continuing employment of promotion eligible NTT faculty;

The procedures for adjudicating faculty grievances;

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

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

Procedures by which bylaws will be reviewed and amended;

A statement that faculty are responsible for developing the curriculum and determining its effectiveness within each department and college;
A statement that faculty identify the standards for student admissions, grading, and candidacy for graduate and undergraduate study;

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

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

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

College and department bylaws should be available online for ready accessibility and clearly annotated with the last date the bylaws were revised.

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

For all positions requiring a terminal degree, the terminal degree is determined in conjunction with established norms within the assigned discipline and within the specific department and/or college. All hiring standards are subject to accreditation standards applicable to a specific college/department. If the faculty member’s qualifications are not transparent for accreditation and credentialing compliance, a written justification should be submitted with the proposed hire identifying the deemed terminal degree for the discipline and summarizing the faculty member’s education, degree(s) and/or equivalent academic qualifications, and relevant professional experience. Exceptions can be made for those holding credentials lower than the terminal degree in the field, upon consideration and approval of the Office of the Provost. Consideration may include the prospective faculty member’s lengthy or extensive industry experience. For those participating in graduate programs, the terminal degree is, ordinarily, required. These requirements are referenced as indicated by (*) as they relate to individuals holding the faculty titles listed below.

**Non-Promotion Eligible Faculty Positions**

**Visiting Faculty**

**A. Definition**

Visiting Faculty appointments are for persons who have a full-time appointment at another higher education institution or similar agency who assume full-time faculty responsibilities at the University of Houston for up to one year. No Visiting Faculty member may remain in the position for more than three consecutive years. In special circumstances, a college or department may hire a person with a terminal degree* for a semester or academic year as a Visiting Assistant Professor who does not have a full-time appointment at another higher education institution, consistent with the norms of particular disciplines and with the permission of the Office of the Provost.
B. Available Titles

Visiting Faculty may be assigned the following titles, which are used at appointment and do not reflect any promotion pathway: Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor (the title being modified using one of the following three descriptors: Instructional, Clinical or Research), and Visiting Scholar. Colleges may also choose to use the titles Scholars (Writers, Composers, Artists, Executives)-in-Residence.

C. Qualifications for Appointment

All hiring standards applicable to accreditation standards for a college or department apply. A terminal degree* typically is not required for individuals appointed as visiting faculty. For those participating in graduate programs, the terminal degree is required. Exceptions can be made for those holding credentials lower than the terminal degree in the field, upon consideration and approval of the Office of the Provost.

D. Duration and Nature of Appointment

Visiting Faculty are appointed by the college’s dean or department chair for either a semester or an academic year, although a shorter or longer appointment is possible under unusual circumstances, within the discretion of the college with the permission of the Office of the Provost.

Lecturing Faculty

A. Definition

Lecturing Faculty appointments are for persons who are primarily engaged to teach one or more specific courses, on either a part time or full time basis.

B. Available Titles

Lecturing Faculty may be assigned the following titles, which are used at appointment and do not reflect any promotion pathway: Lecturer, Senior Lecturer, and Professor of Practice. Professor of Practice, and affiliate artist appointments are ordinarily reserved for persons who are qualified by their past experience outside of academia, and whose current level of expertise and demonstrated or potential ability will significantly enhance the instruction of students and advance the goals of the academic unit or program in ways that cannot be provided solely by the tenured or tenure-track faculty.

C. Qualifications for Appointment

All hiring standards applicable to accreditation standards for a college or department apply. A terminal degree* typically is not required for individuals appointed as Lecturing Faculty. For those

*Terminal degree refers to the highest degree relevant to the field of study.
participating in graduate programs, the terminal degree is required. Exceptions can be made for those holding credentials lower than the terminal degree in the field, upon consideration and approval of the Office of the Provost.

D. Duration and Nature of Appointment

Lecturing Faculty are appointed for a semester or an academic year at the discretion of individual colleges and departments, although a shorter or longer appointment is possible under unusual circumstances, within the discretion of individual colleges with the permission of the Office of the Provost. Depending on the circumstances of the individual college’s accreditation needs, justification may be offered to expand the role/activities of the Lecturing Faculty to include other essential functions such as service at the college/department/university level or to scholarly research. However, it is not the intent of this policy to encourage the appointment of Lecturing Faculty with other than instructional duties. Rather, any expansion of the roles/responsibilities of Lecturing Faculty beyond instruction should not be other than on a temporary basis since these expanded roles are normally reserved for those holding promotion-eligible faculty titles.

E. Compensation

Salaries for full-time Lecturing Faculty will be set by the same procedures used during the annual budget cycle for regular faculty depending on the availability of funding. Lecturing Faculty who will be reappointed for the next academic year will be considered for salary increases in accordance with the university’s guidelines for persons classified as faculty.

Research Scientist/Senior Research Scientist

A. Definition

Research Scientist and Senior Research Scientist appointments are for persons who are engaged to conduct research. These individuals will not teach classes or serve on doctoral committees.

B. Available Titles

Research Scientist versus Senior Research Scientist titles will be applied based on the years of experience required of the position.

C. Qualifications for Appointment

A terminal degree* typically is not required for individuals appointed as Research Scientist or Senior Research Scientist. Academic credentials lower than the terminal degree in the field are subject to review and approval by the Office of the Provost.

D. Duration and Nature of Appointment
Research Scientists and Senior Research Scientists are appointed for a semester or an academic year at the discretion of individual colleges and departments, although a shorter or longer appointment is possible under unusual circumstances, within the discretion of individual colleges with the permission of the Office of the Provost. Research scientists should have significant research expertise although their experience and responsibilities may have been solely focused on the use of advanced instrumentation or technology.

E. Compensation

Salaries for Research Scientists and Senior Research Scientists will be set by the same procedures used during the annual budget cycle for regular faculty depending on the availability of funding. Research Scientists and Senior Research Scientists who will be reappointed for the next academic year will be considered for salary increases in accordance with the university’s guidelines for persons classified as faculty. Research scientists are typically externally funded and not paid from the state budget so any salary increases are dependent on the availability of external funding.

Adjunct Faculty

A. Definition

Adjunct Faculty appointments are for persons who have a primary employment responsibility outside of this university.

B. Available Titles

The only available title is Adjunct Faculty.

C. Qualifications for Appointment

All hiring standards applicable to accreditation standards for a college or department apply. A terminal degree typically is not required for individuals appointed as Adjunct Faculty. For those participating in graduate programs, the terminal degree is required. Exceptions can be made for those holding credentials lower than the terminal degree in the field, upon consideration and approval of the Office of the Provost.

D. Duration and Nature of Appointment

Adjunct Faculty are appointed by the college’s dean or department chair for a semester or an academic year, although a shorter or longer appointment is possible under unusual circumstances, within the discretion of individual colleges and the permission of the Office of the Provost.
Promotion Eligible Faculty Positions

The following provisions regarding renewable continuing employment agreements are applicable to all promotion eligible NTT faculty titles. All are subject to a renewable 3-year employment agreement upon successful promotion in academic rank following completion of the required probationary period and continuing forward through each promotion in rank. If granted, the 3-year term will be implemented on a “rolling” basis so that the faculty member has a full three-year term of employment going forward at the conclusion of each academic year, contingent upon positive annual performance review. A faculty member’s continuing employment agreement may be discontinued if the college/department elects to exercise non-renewal of appointment as explained later in this document.

Instructional Faculty

A. Definition

Instructional Faculty appointments are for persons who are primarily engaged to teach full-time. In addition to their teaching responsibilities, Instructional Faculty members also are expected to significantly contribute either to service at the college, department, or university level, or to scholarly research.

B. Available Titles

Instructional Faculty may be assigned the ranks Instructional Assistant Professor, Instructional Associate Professor, and Instructional Professor.

C. Qualifications for Appointment

Individuals at each academic rank will have experience and qualifications comparable to that of tenured or tenure-track faculty members at the equivalent academic rank. A terminal degree* is expected. If lacking the terminal degree in their field, the instructional faculty member’s education, professional experience and knowledge must be tantamount to that normally associated with a terminal degree in their field. Exceptions can be made for those holding credentials lower than the terminal degree upon consideration and approval of the Office of the Provost. Instructional faculty must be primarily engaged in classroom instruction or similar activities. Each college that has instructional faculty will, in its policy statement, specify the appropriate degree required for appointing such faculty and any additional licensing or accreditation requirements that are necessary.

D. Appointment Procedure

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

E. Duration and Nature of Appointment

Instructional faculty contracts will be one year contracts for a maximum probationary period of six years. Faculty to be rehired will receive a letter of intent for the next academic year no later than May 15th of the current academic year. All contracts for full time instructional faculty should be issued by July 1st. Contracts may be adjusted to allow for an increase in salary based on budget information not available until mid-August but salary may not be reduced after July 1st. A continuing employment agreement may be granted to an instructional faculty member upon the successful completion of a probationary period of six consecutive years, ordinarily, and a favorable recommendation of the departmental promotion committee and the department chair/director with the concurrence of the dean and approval from the Office of the Provost. The term of any continued employment agreement will be limited to a 3-year duration and is subject to renewal for multiple three-year terms on a rolling basis, predicated upon satisfactory annual performance review and progress of the faculty member. Notwithstanding satisfactory annual performance review (page 25), the service of a faculty member with a continuing employment agreement shall not be renewed due to substantial decreases in enrollment, increases in tenure-track hiring or for any of the reasons listed in the relevant sections of this policy (page 28). Instructional faculty with continuing employment agreements will be given notice of non-renewal not later than May 31 of the current academic year so that the faculty member has the benefit of finishing out the remaining 3-year term of employment following the current academic year, with the exception of dismissals for adequate cause as defined in the relevant section of this policy (page 28). All appointments of instructional faculty are NTT and may not be converted into tenure track positions. Instructional faculty will not be considered for tenure; and instructional time served in any Instructional Faculty position shall not be counted toward tenure. Duties and responsibilities of instructional faculty will be in accordance with the college’s Instructional Faculty Policy. Exceptions to this provision must be approved in advance by the dean and Office of the Provost.

F. General Privileges

Instructional faculty will have the same general privileges as tenured, tenure-track, clinical or research faculty and will receive a faculty identification card. These privileges include library, computer, athletic, and parking privileges.

G. Academic Privileges

Participation in departmental and college affairs will be regulated by guidelines as described by the foregoing section of this policy stipulating required elements in college and department bylaws which are subject to approval by the Office of the Provost. To the extent that instructional faculty have academic privileges, they shall be governed by the same regulations as regular faculty members as outlined in the Faculty Handbook. Instructional faculty may serve on (but not chair) thesis and dissertation committees at the option of the individual college, but they may
not constitute the majority of the committee. Instructional faculty members are not eligible for some university-wide internal grant programs.

H. Promotion

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

I. Compensation

Salaries for instructional faculty will be set by the same procedures used during the annual budget cycle for regular faculty depending on the availability of funding. Instructional faculty who will be reappointed for the next academic year will be considered for salary increases in accordance with the university's guidelines for persons classified as faculty.

J. Restrictions

No college may hire promotional eligible instructional faculty until a college policy on instructional faculty has been developed and approved by the Office of the Provost. College policies must specify limitations on the use of instructional faculty in the college.

K. Exceptions

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

Clinical Faculty

A. Definition

Clinical Faculty appointments are NTT appointments for persons who are primarily engaged in client or field-based educational programs, or patient care. In addition to their teaching responsibilities, Clinical Faculty members also are expected to significantly contribute either to service at the college, department, or university level, or to scholarly research in the discipline.

B. Available Titles

Clinical Faculty may be assigned the ranks Clinical Assistant Professor, Clinical Associate Professor, and Clinical Professor.

C. Qualifications for Appointment
Individuals at each academic rank will have experience and qualifications comparable to that of tenured and tenure-track faculty members at the equivalent academic rank. A terminal degree* is expected. If lacking the terminal degree in their field, the clinical faculty member’s education, professional experience and knowledge must be tantamount to that normally associated with a terminal degree in their field. Exceptions can be made for those holding credentials lower than the terminal degree upon consideration and approval of the Office of the Provost. Clinical Faculty must be primarily engaged in client or field-based educational programs. Each college that has Clinical Faculty will in its policy statement, specify the appropriate degree required for appointment as Clinical Faculty and any additional licensing or accreditation requirements that are necessary.

D. Appointment Procedure

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

E. Duration and Nature of Appointment

Clinical faculty will be awarded one year contracts for a maximum probationary period of six years. Faculty to be rehired will receive a letter of intent for the next academic year no later than May 15th of the current academic year. All contracts for full time clinical faculty should be issued by July 1st. Contracts may be adjusted to allow for an increase in salary based on budget information not available until mid-August but salary may not be reduced after July 1st. A continuing employment agreement may be granted to a clinical faculty member upon the successful completion of a probationary period of six consecutive years, ordinarily, and a favorable recommendation of the departmental promotion committee at the University of Houston and the department chair/director with the concurrence of the dean and approval from the Office of the Provost. The term of any continued employment agreement will be limited to a 3-year duration and is subject to renewal for multiple three year terms on a rolling basis, predicated upon satisfactory annual performance review and progress of the faculty member. Notwithstanding satisfactory annual performance review (page 25), the service of a faculty member with a continuing employment agreement shall not be renewed due to substantial decreases in enrollment, increases in tenure-track hiring or for any of the reasons listed in the relevant sections of this policy (page 28). Continuous employment agreements are subject to annual performance reviews conducted at the department level. Clinical faculty with continuing
employment agreements will be given notice of non-renewal not later than May 31 of the current academic year so that the faculty member has the benefit of finishing out the remaining 3-year term of employment following the current academic year, with the exception of dismissals for adequate cause as defined in the relevant section of this policy (page 28).

All appointments of Clinical Faculty are NTT and may not be converted into tenure track positions. Clinical Faculty will not be considered for tenure; and instructional time served in any Clinical Faculty position shall not be counted toward tenure. Duties and responsibilities of Clinical Faculty will be in accordance with the college’s Clinical Faculty Policy. Exceptions to this provision must be approved in advance by the dean and Office of the Provost.

F. General Privileges

Clinical Faculty will have the same general privileges as tenured, tenure-track, instructional or research faculty and will receive a faculty identification card. These privileges include library, computer, athletic, and parking privileges.

G. Academic Privileges

Clinical Faculty may serve on (but not chair) thesis and dissertation committees at the option of the individual college, but they may not constitute the majority of the committee.

Participation in departmental and college affairs will be regulated by guidelines as described by the foregoing section of this policy stipulating required elements in college and department bylaws which are subject to approval by the Office of the Provost. To the extent that Clinical Faculty have academic privileges, they shall be governed by the same regulations as regular faculty members as outlined in the Faculty Handbook.

H. Promotion

Clinical Faculty members are eligible for promotion within their clinical ranks as a result of a formal review procedure. This procedure must be stipulated by each college and must include review at the department and college level with approval of the Office of the Provost. Each department/college’s procedure must be provided in writing to each faculty member. Specific criteria for appointment at each rank must be developed in the college policy.

I. Compensation

Salaries for Clinical Faculty will be set by the same procedures used during the annual budget cycle for regular faculty depending on the availability of funding. Clinical Faculty who will be reappointed for the next academic year will be considered for salary increases in accordance with the university’s guidelines for persons classified as faculty.

J. Restrictions
No college may hire promotion eligible clinical faculty until a college policy on clinical faculty has been developed and approved by the Office of the Provost. College policies must specify limitations on the use of clinical faculty in the college.

K. Exceptions

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

Research Faculty

A. Definition

Research faculty appointments are for persons who are primarily engaged in research activities and will be considered eligible for promotion.

B. Available Titles

Research Faculty may be assigned the following titles: Research Assistant Professor, Research Associate Professor, and Research Professor. Individuals at each level will have research experience and prestige comparable to that of a regular tenured or tenure-track faculty member at the equivalent academic rank. Research Faculty members are typically externally funded and will not be paid from the state teaching budget. This designation, on an exceptional basis, may be used for persons who do not yet hold the terminal degree with the permission of the Office of the Provost.

C. Qualifications for Appointment

Individuals at the research assistant, associate, and professor levels will have research experience and prestige comparable to that of tenured or tenure-track faculty members at the equivalent academic rank. A terminal degree* is expected. If lacking the terminal degree in their research field, the research faculty member’s education, professional experience and knowledge must be tantamount to that normally associated with a terminal degree in their field. Exceptions can be made for those holding credentials lower than the terminal degree upon consideration and approval of the Office of the Provost. In exceptional circumstances, individuals whose experience and responsibilities have been solely focused on the use of advanced instrumentation or technology are eligible for appointment as research faculty at the discretion of the college and with the permission of the Office of the Provost.

D. Appointment Procedure

Appointment of Research Faculty will be the responsibility of the dean of the college, with approval of the Office of the Provost, based upon the recommendation of the individual department. All promotion eligible Research Faculty must be hired through a faculty committee process. The recommending dean will indicate the space, staff support, and equipment needs of
the individual to be appointed and how these needs are to be accommodated within the context of existing or projected resources. The specific offer, and all related conditions, shall be the responsibility of the college, department and faculty sponsor (if the position is funded by a specific, faculty Principal Investigator). These conditions may vary significantly depending on the funding source which supports the research faculty member.

E. Duration and Nature of Appointment

Research Faculty will be awarded one year contracts for a maximum probationary period of six years. For planning purposes, written notification of reappointment should be issued to promotion-eligible full time research faculty members by July 1st. Research faculty to be rehired for the next academic year shall receive a written contract for the next academic year no later than 30 days before the first day of the academic year, subject to availability of funding, or 30 days before the beginning of the next succeeding grant cycle if the funding and appointment term do not run concurrent with the academic year. Otherwise, written notification should be provided why the department or college is unable to comply with issuance of a written contract no later than 30 days before the first day of the academic year or as described. Contracts may be adjusted to allow for an increase in salary based on budget information not normally available until mid-August, but salary may not be reduced after July 1st unless external funding sources are no longer available.

Subject to any restrictions specified below, a continuing employment agreement may be granted to a research faculty member upon the successful completion of the six year probationary period, ordinarily, and a favorable recommendation of the departmental promotion committee at the University of Houston and the department chair/director with the concurrence of the Dean and approval from the Office of the Provost. The term of any continued employment agreement will be limited to a 3-year duration contingent upon adequacy of external funding and is subject to renewal for multiple three year terms on a rolling basis, predicated upon satisfactory annual performance review, progress of the faculty member, and evidence of continuing external funding for the duration of the 3-year term going forward each year incrementally. Notwithstanding satisfactory annual performance review (page 25), the service of a faculty member with a continuing employment agreement shall not be renewed due to the loss of grant funding, substantial decreases in enrollment, increases in tenure-track hiring or for any of the reasons listed in the relevant sections of this policy (page 28). Research faculty with continuing employment agreements will be given notice of non-renewal not later than May 31 of the current academic year so that the faculty member has the benefit of finishing out the remaining full 3-year term of employment ahead following the current year, with the exception of dismissals for adequate cause as defined in the relevant section of the Faculty Handbook or immediate loss of research funding to support the position.

All appointments of research faculty are NTT appointments, and service in this rank shall not be counted towards tenure at the University of Houston.
F. Research Privileges and Responsibilities

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

G. Teaching and Related Obligations

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

H. General Privileges

Research faculty will have the same general privileges as tenured, tenure-track, instructional or clinical faculty and will receive a faculty identification card. These privileges include library, computer, athletic, and parking privileges.

I. Academic Privileges

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

J. Promotion

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

K. Compensation

Salaries for research professors will be set by the same procedures used during the annual budget cycle for regular faculty depending on the availability of funding. Research faculty who will be reappointed for the next academic year will be considered for salary increases in accordance with the university's guidelines for persons classified as faculty. Research Faculty members are typically externally funded and not paid from the state budget so any salary increases are dependent on the availability of external funding, but should be in line with average merit increases.

L. Restrictions

Colleges may hire research faculty based on availability of external funds. For promotion eligible research faculty, in order to award a 3-year continuing employment agreement contingent upon successful promotion, this must be supported by evidence of sustained external funding being available for the duration of the entire agreement while in force and not just the initial 3-year term. This is also true for any subsequent renewals of the 3-year continuing employment term.

M. Exceptions

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

Librarians

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

Contract Renewal, Promotion, and Continuing Employment Agreements for NTT Faculty

The following provisions address the renewal or non-renewal of NTT faculty appointments, NTT faculty promotion, and continuing employment agreements for NTT faculty upon promotion, if eligible.

General Policies

The primary responsibility for faculty review lies within the candidate's department and college. It is, therefore, critical that the departments and colleges set their own criteria and quality standards. The promotion and continuing employment policies are designed to assure that high standards are maintained and that due process is followed. Due process consists of two elements. First, faculty members have the right to know what is expected of them to be promoted or granted a continuing employment agreement. Second, candidates for promotion have the right to be heard, to clarify vagueness, and/or correct factual errors before any recommendation is forwarded to the next level.
The University of Houston policies are guided by principles delineated by the American Association of University Professors (AAUP is online at http://www.aaup.org/aaup). To assure an equitable review, the following policies must be followed at each level and incorporated into departmental and college policies:

A. Promotion and/or tenure or continuing employment review is a peer review process. For that reason, only tenured faculty should vote on tenure decisions; only full professors should review and vote on applications for promotion to professor. At least one NTT faculty member of like faculty category to the candidate must be included in the process for promotion and/or continuing employment decisions for NTT faculty. Exceptions must be stated in the appropriate policies that apply at the departmental or college levels.

B. Committee recommendations for NTT faculty must be based on written promotion, and continuing employment criteria and standards that have been previously approved by the Office of the Provost.

C. Committee recommendations must include the name, rank, and title of each member of the review committee. Faculty who vote on a candidate’s file at one level shall not vote on that candidate a second time at a higher level.

D. Committee deliberations shall be conducted in confidence and the committee’s findings shared in writing with the applicant and the appropriate administrator.

E. Department chairs/directors and deans conduct independent reviews and make written recommendations based on an examination of all portfolio materials, including external letters of review and committee findings.

F. Each subsequent review body is responsible for considering any procedural problems it identifies in the prior review and for making every effort to correct any errors caused by those problems.

G. Applicants are entitled to a reconsideration of the Chair’s/Director’s, Dean’s, and Provost’s negative recommendations. Reconsiderations are limited to errors of fact and procedure. Further, NTT applicants are entitled to reconsideration of negative recommendations by the department, college and university promotion committees. Other avenues of appeal may be available pursuant to department and/or college bylaws.

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

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

The probationary period for promotion-eligible (PE) NTT faculty to receive a continued employment agreement with promotion shall normally not exceed six (6) consecutive academic years spent under annual contract. No prior collegiate-level teaching may be credited to the probationary period of a PE NTT faculty member at UH. The final and mandatory review for continuing employment, if eligible, with PE NTT faculty promotion shall normally take place in the sixth year of appointment. For those appointed at the NTT associate professor or NTT professor rank in the PE pathway, the maximum probationary period is four (4) years prior to application for promotion to NTT professor and/or application for a continuing employment contract. If warranted, based upon as strong or a stronger record of achievement to that of a recently promoted PE NTT faculty member in the same department and college who has served the full six years of probation, a dean may approve a PE NTT faculty member’s application for promotion in rank prior to the completion of the 6 year probationary period. NTT PE faculty will be notified annually of decisions regarding contract renewal throughout each of the six (6) years of their probationary period, or four (4) year probationary period as applicable. Leaves of absence for PE NTT faculty members (other than for childbirth or adoption) shall only be considered as part of the probationary period for continuing employment if stipulated in a written agreement between the faculty member and the dean of the college prior to the leave period with the approval of the Office of the Provost. See also Leaves of Absence in the Faculty Handbook.

Part-time, non-promotion eligible (NPE) NTT faculty appointments expire at the end of the stated appointment term as described in the offer letter and there is no expectation of renewal. Part-time NPE faculty appointments may be renewed on a semester-to-semester or academic year basis as agreed by the parties. Full-time NPE NTT faculty should be notified of non-renewal of appointment for the following successive academic semester or academic year as soon as practicable, but no later than Dec 15th or May 15th of the last semester of appointment so that all parties may plan accordingly.

Reviews during Probationary Period

Every faculty member will undergo an annual performance review (APR) according to departmental procedures including all NTT faculty members. Promotion-eligible NTT faculty must undergo a thorough pre-promotion review in addition to the annual performance review which will be carried out according to departmental procedures. This review normally is conducted at the beginning of January of the faculty member’s third year at the University of Houston for those on a six year probationary period. The faculty member must submit a portfolio in accordance with departmental/college policies and criteria utilized for mandatory promotion of PE NTT faculty members. An independent review will be conducted by at a minimum the departmental P&T committee and the departmental chair/director. These reviews will be conducted separately and independently, and include any additional review levels mandated in the departmental procedure detailing the strengths and weaknesses of the pre-promotion review portfolio. The chair/director then writes a letter to the candidate detailing the strengths and weaknesses of the pre-promotion
review portfolio. The chair/director sends a copy of the letter to the dean, who files the letter in the faculty member’s personnel file. The letter subsequently becomes a part of the mandatory promotion review process at the appropriate time. Summaries of annual reviews should be available to internal reviewers in any subsequent NTT promotion and continuing employment application.

Non-renewal of Appointment of NTT Faculty

The decision not to renew the appointment of a promotion-eligible (PE) NTT faculty member during their probationary period is not a form of dismissal for cause. Non-reappointment of a NTT promotion-eligible faculty member during their probationary period does not require justification of professional inadequacy nor is the faculty member affected by the decision entitled to a statement of the reasons upon which the decision for such action is based. The faculty member may grieve the non-renewal decision to the Office of the Provost if the faculty member believes the decision to be a violation of the faculty member’s contractual rights or an infringement upon the exercise of rights guaranteed by the laws or the constitution of this state or of the United States. The grievance must be filed in writing with the Office of the Provost within fifteen calendar days of receipt of the notice of non-renewal. The faculty member may request a personal meeting with the Office of the Provost or may elect to proceed in writing only. The Provost’s decision on the non-renewal decision is the final institutional step in this matter and shall not be subject to further review. In non-renewal grievance instances alleging unlawful discrimination or harassment, please consult SAM 01.D.07 Discrimination and Harassment Policy.

Notice of non-renewal of appointment for promotion-eligible NTT faculty in probationary status will be given to the faculty member by the department chair/director according to the schedule below; for faculty with continuing employment agreements, notice of non-renewal of appointment will be given to the faculty member by the dean.

A. For PE NTT faculty at any point in their probationary period, notice must be given not later than March 1st or as soon thereafter if there is a substantial budget delay, that their appointments will end at the conclusion of the current academic year; or, if a one-year appointment expires during an academic year, at least three months in advance of its expiration.

B. Clinical and Instructional faculty with continuing employment agreements will be given notice of non-renewal not later than May 31st of the current academic year so that the faculty member has the benefit of a full 3-year term of employment remaining following the current year, with the exception of dismissals for adequate cause, financial exigency, medical reasons, or discontinuance of academic programs as defined in the relevant section of the Faculty Handbook.

C. Research faculty with continuing employment agreements will be given notice not later than May 31st of the current academic year so that the faculty member has the benefit of a full 3-year term of employment remaining following the current year, with the exception of dismissals for adequate cause, financial exigency, medical reasons, or discontinuance of academic programs as defined in the relevant section of the Faculty Handbook, or ending of the grant support on which their salary is paid.

(Non-Tenure Track Faculty Policy approved by the Office of the Provost, July 18th 2016)
For University of Houston financial exigency policy, see the Faculty Handbook.

**NTT Faculty Time in Rank**

A. Promotion-eligible NTT faculty members are eligible to apply for a continuing employment agreement after a maximum probationary period of six (6) years under annual contract, with favorable recommendations from both the departmental promotion committee and department chair with the concurrence of the Dean and approval from the Office of the Provost. Promotion review will normally occur during the sixth year of service with promotion and award of a continuing employment contract occurring at the beginning of the following academic year.

B. Promotion-eligible NTT assistant professors will normally serve six (6) years at the rank of NTT assistant professor before being eligible for promotion to NTT associate professor. In cases of exceptional merit, promotion to NTT associate professor may be granted earlier with the approval of the Office of the Provost.

C. Promotion of promotion-eligible NTT faculty from NTT associate professor to NTT full professor requires strong evidence of teaching, research and scholarship, and/or service as appropriate to the specific domain in which the NTT faculty member is appointed and to the mission of the university. Ordinarily, a minimum of four years in rank is required for promotion from NTT associate to NTT full professor. In cases of exceptional merit, promotion to NTT full professor may be granted earlier with the approval of the Office of the Provost.

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

E. Recommendations for promotion of NTT faculty shall be transmitted annually by April 1 along with all supporting documentation for review and approval by the Office of the Provost.

**Criteria and Standards for NTT Promotion and Continuing Employment Agreements**

**Definition of Continuing Employment**

A continuing employment agreement for a promotion-eligible NTT faculty at the University of Houston will only be awarded upon the successful promotion of the faculty member at the conclusion of the required probationary period. A continuing employment agreement consists of an initial three year-contract and contingency to automatically renew the agreement for an unspecified number of additional, three years terms on a rolling annual basis, predicated upon satisfactory annual performance review and progress of the faculty member. The continuing employment agreement will remain in effect if the faculty member satisfies all the conditions of their continuing employment. Faculty with continuing employment agreements will be subject to post continuing employment agreement performance review requirements detailed in the Faculty
Handbook. The rolling automatic three (3) year renewal provision contained in the continuing employment agreement can be exercised an unlimited number of times successively with the written agreement of both the faculty member and the university administration, predicated upon satisfactory annual performance review and faculty progress.

University Criteria

The basic criteria and standards of the University of Houston reflect a commitment to academic excellence. It is the expectation that instructional and clinical faculty shall meet the highest standards of their disciplines within the domain of teaching while research faculty shall meet the highest standards of their disciplines within the domain of research. Contributions by NTT faculty in the areas of teaching, service, or research/scholarship/creative endeavor will be considered as appropriate to the individuals assigned job duties.

Criteria by Rank

Promotion from NTT associate to NTT full professor, requires a minimum of four (4) reviewer letters. A department may request more than four (4) but no more than six (6). Without exception, all reviewer letters received must be included in the portfolio. At least one outside letter from an “arms-length” reviewer is be required (i.e. outside the university). The remainder may be from outside or within the university. As with the tenure-track process, letters may not be accepted from Co-PIs, co-authors, prior students or collaborators on grants/academic projects. Promotion to the rank of NTT professor requires significant contributions to the candidate’s field that have had a scholarly or creative impact beyond the university. The application portfolio will document a record of accomplishments in at least two of the following domains (i.e. teaching, service, or research/scholarship/creative endeavor responsibilities) that are distinguished by quality and significance over time.

Local Criteria

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

Performance Evaluation of NTT Faculty Awarded a Continuing Employment Contract

A. A comprehensive peer review of all full-time faculty is conducted annually at UH.

1. This annual merit review is intended to function as the post-tenure and comparable NTT post-continuing employment review; tenured faculty review is mandated by statute and Board policy. The annual review shall be a comprehensive performance evaluation, based on the professional responsibilities of the faculty member in teaching, service, research/scholarship/creative endeavor, patient care, and administration, as applicable, shall...
include peer review, and shall be directed towards the professional development of the faculty member, consistent with the norms reflected in section 51.942 of the Education Code.

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

B. For post-continuing employment review, the evaluation is tied to the underlying performance period within the limits of the current 3-year continuing employment agreement which rolls forward with the conclusion of the current academic year.

C. The evaluation is based on the professional responsibilities of the faculty member, in teaching, service, or research/scholarship/creative endeavor, patient care, and administration, as applicable. The faculty of each unit will establish the performance standard pending approval of the chair/director, dean, and Office of the Provost.

1. The faculty members of an academic discipline represent, by the very nature of their specialized knowledge and skills, the best group to develop standards by which to judge their colleagues.

2. A faculty member's administrative responsibilities shall be subject to the established annual review procedures for administrators as codified in Board of Regents Bylaws, System Administrative Memoranda, and university policies.

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

Outcomes of Annual Performance Review

A. Satisfactory performance

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

B. Unsatisfactory

A faculty member's overall performance or his/her teaching performance falls below the unit standards for the domain in which the NTT faculty member holds their primary responsibilities.

C. Consequences

An initial unsatisfactory rating provides mandatory entrance into a NTT Faculty Development
Plan (NTT-FDP) for NTT faculty holding a continuing employment agreement. The terms of any NTT-FDP should be determined as per existing department/college policies with review and approval by the Office of the Provost. If a promotion-eligible NTT faculty member employed under a continued employment contract is placed on a NTT-FDP, this status suspends continuation of the three year “rolling” provision of his/her continuing employment agreement. In addition, a NTT faculty member placed on an FDP is subject to termination at the end of their current three year term, unless the faculty member satisfactorily completes the conditions of their FDP and the department/college recommends reinstatement of a three year “rolling” continuing employment agreement.

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

The Post-Continuing Employment Review Process

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

For the purpose of NTT post-continuing employment review, the same committee will serve with the addition of one NTT faculty member of senior rank (instructional, clinical, or research as appropriate to the situation). In the case where no NTT faculty members of senior rank exist in the department or college, a department or college may find a suitable alternate from another department or college within the University or consider waiving this requirement with the approval of the Office of the Provost.

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

B. If a NTT faculty member with a continuing employment agreement receives an unsatisfactory rating as a consequence of an annual performance review, the full committee as described in the foregoing section will meet unless the faculty member elects to omit this step. A written statement of the performance deficiencies will be issued to the faculty member when performance is deemed unsatisfactory.

C. The unit administrator (chair/director or dean) will work with the NTT faculty member to develop and monitor a faculty development plan (FDP) designed to address the performance deficiencies identified. Such a FDP plan must be approved by the dean and Office of the Provost. The NTT FDP has a maximum duration of three years since the continuing employment agreement is limited to a 3-year term if a faculty member is subject to a FDP. The NTT faculty member will receive post-continuing employment evaluations as normal during the balance of the FDP period to provide feedback to the faculty member. The FDP covers only the balance of the remaining current term of the continuing employment agreement. The committee’s post-continuing employment review evaluation determines the outcome of the FDP at the conclusion of the process.
The conclusion of the initial NTT FDP will result in one of two actions:

1. Performance has improved sufficiently to be considered satisfactory and the faculty member may be considered for reinstatement of a three year “rolling” continuing employment agreement.

2. Performance has not improved sufficiently and continuing employment should not be renewed at the conclusion of the current three (3) year continuing employment agreement term.

The NTT FDP process described above should include written expectations for improvement of performance over the balance of the current 3-year continuing employment agreement and make clear the date for conclusion of the FDP process and a recommendation for one of the two actions listed above.

Reporting Mechanisms

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

Due Process and Grievance Procedures

A. Faculty members have full access to the university grievance process with respect to their performance evaluations.

B. A rating of unsatisfactory may be appealed to the dean and the Provost, with the latter's decision being final.

C. In accord with state law, only a tenured faculty member subject to revocation of tenure and dismissal on the basis of performance evaluations must be given the opportunity for referral of the matter to a non-binding alternative dispute resolution process. As such, this option is not available to NTT faculty members.

Faculty Dismissal

Each component university through its faculty governance processes shall develop policies and procedures pertaining to dismissal of faculty members. Such policies must be consistent with UHS Board of Regents policy and must be approved by the Chancellor/President (UHS Board of Regents policy 21.07).

The following section of this policy details general policies governing the dismissal of faculty members (tenured, tenure-track, NTT faculty with continuing employment agreements) under circumstances such as dismissal for cause, financial exigency, medical reasons and discontinuance of academic programs.

These policies are not applicable to the non-renewal of year-to-year or continuing employment contracts held by NTT faculty members unless a faculty member is terminated before the end of their contract period.

Assurances

University policies and procedures for faculty dismissals must ensure that:

A. The rights of the individual to due process are protected;

B. Dismissal shall not violate the constitutionally protected rights of an individual and shall not be used to restrain faculty members in their exercise of academic freedom;

C. Dismissal procedures provide for timely written notice of impending dismissal that specifies the grounds on which dismissal is sought;

D. A faculty member notified of impending dismissal has the option of a hearing before an impartial faculty tribunal designated by the established procedures of the university; and

E. The burden of proof in dismissal proceedings rests with the university.

Justifications

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

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

   1. Grounds related to dishonesty, or to demonstrated professional incompetence in teaching or research;

   2. Grounds related to substantial and manifest neglect of professional or academic responsibilities; or

   3. Grounds related to actions that would result in a general condemnation of the faculty member by the U.S. academic community.
B. **Financial Exigency.** Termination of employment may be justified by a demonstrated and *bona fide* imminent financial crisis that threatens the continuation of the academic programs in their present form, and that cannot be alleviated by other means. The university will develop criteria and procedures to determine whether a state of financial exigency exists. Standards so developed will include provisions for faculty involvement in the determination and for a minimum twelve-month notice of termination of appointment to tenured faculty and NTT faculty members with continuing employment agreements. Untenured faculty including NTT faculty without continuing employment contracts will be given notice consistent with the university's non-reappointment guidelines. Review of any proposed faculty terminations due to financial exigency or discontinuance of a program or academic department will be reviewed by the Office of the Provost for recommendation, in turn, to the Chancellor/President. The Chancellor/ President will provide advice and consultation to the Board of Regents. The decision to declare a financial exigency may be made only by the Board of Regents. The Faculty Handbook contains the University of Houston’s Financial Exigency Policy and prescribes the roles of the administration and Faculty Senate. While the policy states that it applies only to tenured and tenure-track faculty, for inclusiveness, the policy shall also apply to NTT faculty with continuing employment agreements.

*For University of Houston financial exigency policy, see the Faculty Handbook.*

C. **Medical Reasons.** Termination of employment may be justified by clear and convincing medical evidence that the faculty member cannot fulfill professional and academic obligations, or the terms and conditions of appointment, with reasonable accommodation. The decision to terminate shall be reached only after there has been appropriate consultation and the faculty member or his/her representative has been informed of the basis of the proposed action, and has been afforded an opportunity to present his/her position and to respond to the evidence. If the faculty member so requests, the evidence shall be reviewed by the Grievance Committee before a final decision is made by the Board of Regents on recommendation of the Chancellor/President, based upon review by the Office of the Provost.

D. **Discontinuance of Academic Programs.** Termination of employment may be based on the discontinuance of an academic program reflecting long-range judgments concerning the educational mission of the university. Tenured faculty will be given notice eighteen months prior to termination of employment due to discontinuance of academic programs. NTT faculty with continuing employment agreements will be given notice twelve months prior to non-renewal of employment unless as prescribed otherwise in this policy. Untenured faculty will be given notice consistent with university non-reappointment guidelines.

*For University of Houston discontinuance of academic program policies, see the Faculty Handbook.*

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

**Financial Exigency and NTT Faculty**

Application of this policy extends to probationary NTT faculty and those with continuing employment agreements.

A. **Definition of Financial Exigency.** For the purposes of this policy, a financial exigency is an actual or impending financial crisis that threatens the survival of the university in its current structure and which cannot be alleviated by less drastic measures than terminating tenured, tenure track, and promotion-eligible NTT faculty. Words like "crisis" and "survival" are used to make it clear that an exigency must involve extremely serious financial problems, and not merely minor or temporary budget difficulties. Further, the financial problems must threaten the existence of the entire university, and not just a part thereof. The definition of financial exigency also embodies its primary consequence, the authority to dismiss tenured, tenure track faculty, and NTT faculty with continuing employment. This is a drastic step that should be taken only after all reasonable alternatives have been exhausted. The declaration of an exigency requires that the dismissal of tenured, tenure track, and NTT faculty with continuing employment is likely, even if such dismissals are not imminent.

B. **Consultation Prior to Declaration of Exigency.** When the Chancellor/President believes a *bona fide* financial exigency exists, s/he shall promptly inform and seek the advice of the Council of Deans and the Faculty Senate. The request for advice shall be accompanied by written supporting documentation, including detailed financial data. The Faculty Senate shall promptly inform and seek the advice of the appropriate groups including the Undergraduate Committee, the Graduate and Professional Studies Committee, the Research and Scholarship Committee, and the Student Government Association. Each group will be invited to present its reactions to the Faculty Senate. The Faculty Senate, in accordance with its bylaws, will in turn, provide advice and consultation to the Office of the Provost who, in turn, will make a recommendation to the Chancellor/President about the declaration of an exigency. Disagreements should be noted by the Faculty Senate, and groups that disagree with the positions taken by the Faculty Senate can present their views directly to the Office of the Provost who will make a recommendation to the Chancellor/President. The Chancellor/President will provide advice and consultation to the Board of Regents.

C. **Declaration of Financial Exigency.** The decision to declare a financial exigency may be made only by the Board of Regents. Before declaring a financial exigency, the Board must meet in open session to consider the positions of the Chancellor/President and the Faculty Senate. The declaration of an exigency requires the affirmative vote of the Board according to procedures established in its bylaws.

D. **Consultation during Exigency.** After the declaration of an exigency, major steps for dealing with the financial crisis will be reviewed jointly by the Office of the Provost, Chancellor/President and the Faculty Senate. Proposals to terminate or significantly alter academic programs shall be submitted for consideration to the existing academic review committees and review by the Office of the Provost, by the Chancellor/President.
E. **Plan for Retrenchment.** A retrenchment plan must be approved by the Board of Regents before actions are taken pursuant to a declaration of financial exigency. Prior to the approval of a plan, or the amendment of an existing plan, the Board must meet in open session to consider the positions of the Chancellor/President and the Faculty Senate. Termination of faculty appointments or major changes in academic programs must conform with the principles established in the plan, as well as the provisions of this document. The plan may provide for the termination of tenured faculty in one program while untenured faculty are retained in another program. Academic considerations will be primary in making program and personnel decisions.

F. **Consideration of Less Drastic Alternatives Prior to Termination of Faculty.** Prior to issuing notices of dismissal to tenured, tenure track faculty, or NTT faculty with continuing employment or canceling academic programs, the Office of the Provost will review and make recommendation to the Chancellor/President who shall give careful consideration to all reasonable alternatives including but not limited to the following:

1. An early retirement program.

2. Voluntary leaves of absence or part-time employment.

3. Transfer of faculty to other positions with the University of Houston for which they are qualified.

4. Reduction or postponement of non-academic expenses.

5. Sale of assets and other means to increase revenue.

G. **Order of Termination.** Except in extraordinary circumstances where a serious distortion of an academic program would otherwise result, NTT faculty on probationary contracts within a program shall be terminated before any NTT faculty with continuing employment agreements. Non-tenure-track faculty on probationary contracts or continuing employment agreements shall be terminated before 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 faculty of higher rank, and to more senior faculty within the same rank.

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

I. **Procedures for Review of Personnel Actions Based on Financial Exigency.** Any faculty member
who is given notice of termination or is subject to a personnel action that would be prohibited in the absence of an exigency is entitled to a hearing before the designated faculty body specified in the University of Houston Faculty Handbook. Among the issues to be considered by the review panels are:

1. Disagreements concerning the existence and extent of a *bona fide* exigency.

2. Adherence to the plan for retrenchment.

3. Compliance with procedural requirements.

4. Improper motives related to academic freedom, race, national origin, religion, age, handicap, veteran’s status, gender, genetic information, sexual orientation, or gender identity or expression in the dismissal of a faculty member.

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

J. **Policies Related to Financial Exigency.** The following policies will be followed with regard to tenured, tenure track and NTT faculty with continuing employment agreements and faculty dismissed due to financial exigency.

1. Job placement services will be provided.

2. Eligibility to participate in state premium sharing and group insurance programs sponsored by the university will continue at least until the end of the notice period. Eligibility for 18 months of additional coverage is available through Consolidated Omnibus Budget Reconciliation Act (COBRA) without premium sharing. The individual will pay the full cost.

3. From the time notice is given until the termination of assigned duties, terminated faculty members are entitled to enroll in courses for credit without payment of tuition or fees, provided that the faculty can (a) meet fundamental job obligations and (b) meet the requirements for admission to the course or program. The provision in the Faculty Handbook regarding "Graduate Work by Faculty" shall not apply.

4. If faculty positions terminated in a *bona fide* financial exigency become available within three years of such termination, the university shall offer those positions to qualified faculty members terminated under the financial exigency. If that faculty member is rehired to his/her position, s/he will assume the same seniority, including tenure and rank, as was previously held to the extent allowed by law.

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

K. **Termination of Exigency.** The declaration of a financial exigency by the Board of Regents shall be for a specified period of time not to exceed two years, unless extended after compliance with the same procedures as required for the initial declaration of exigency. The Board of Regents may, by majority vote, terminate a financial exigency at any time. However, nothing in this section shall
Policy for the Termination of Faculty Due to the Discontinuance of a Program, Department, or College for Reasons Other Than Financial Exigency

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

A. **Process for Discontinuance.** Upon review and deliberation by the Office of the Provost, the recommendation to discontinue a program, department, or college shall be made by the Chancellor/President on the basis of educational considerations and only after consultation and review as set forth herein.

B. **Consultation Prior to Discontinuance.** When the Chancellor/President believes that a discontinuance which may involve the termination of tenured or tenure track faculty is necessary, he or she shall inform and seek the advice of the Council of Deans and the Faculty Senate. The request for advice shall be accompanied by written supporting documentation. The Faculty Senate shall promptly inform and seek the advice of the appropriate groups including the Undergraduate Committee, the Graduate and Professional Studies Committee, the Research and Scholarship Committee, the Staff Council, and the Student Government Association. Each group will be invited to present a response to the Faculty Senate. The Faculty Senate will, in turn, provide advice and consultation to the Office of the Provost who, in turn, will make a recommendation to the Chancellor/President. Disagreements should be noted by the Faculty Senate, and groups that disagree with the position taken by the Faculty Senate may present their views directly to the Office of the Provost who will make a recommendation to the Chancellor/President.

C. **Declaration of Discontinuance.** The decision to discontinue a program, department, or college may be made only by the Board of Regents. A plan, approved through appropriate channels of consultation including review by the Office of the Provost, will be presented by the Chancellor/President to the Board of Regents before action is taken pursuant to discontinuance. Prior to the approval of a plan or the amendment of an existing plan, the Board must meet in open session to consider the position(s) of the Chancellor/President and the Faculty Senate. Termination of faculty appointments or major changes in academic programs must conform with principles established in the plan, as well as the provisions of this document. The plan may provide for the termination of tenured faculty in one program while untenured faculty are retained in another program. Academic considerations will be primary in making program and personnel decisions. The discontinuance requires the affirmative vote of the Board according to procedures established in its bylaws.

D. **Consultation.** After the decision to discontinue, major steps for dealing with the affected parties...
will be reviewed jointly by the Chancellor/President, Office of the Provost, and the Faculty Senate.

E. Consideration of Less Drastic Alternatives Prior to Termination of Faculty. Prior to issuing notices of dismissal to tenured and tenure track faculty or canceling academic programs, and upon the review and recommendation of the Office of the Provost, the Chancellor/President shall give careful consideration to all reasonable alternatives, including but not limited to the following:

1. An early retirement program.

2. Voluntary leaves of absence or part-time employment.

3. Transfer of faculty to other positions within the University of Houston for which they are qualified.

4. Retraining faculty for positions within the University of Houston.

F. Order of Termination. Except in extraordinary circumstances where a serious distortion of an academic program would otherwise result, NTT faculty on probationary contracts within a program shall be terminated before any NTT faculty with continuing employment agreements. Non-tenure-track faculty on probationary contracts or continuing employment agreements shall be terminated before tenure track faculty are terminated, and any unt enured faculty within a program shall be terminated before any tenured faculty are terminated. Where consistent with the academic needs of the university, preference shall be given to tenured faculty of higher rank, and to more senior faculty within the same rank. Care must be taken to consider the employment of groups entitled to affirmative action.

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

H. Procedures for Review of Personnel Actions Based on Discontinuance. Any faculty member who is given notice of termination is entitled to a hearing before the designated faculty body, as specified in the University of Houston Faculty Handbook (see Faculty Senate Constitution, Bylaw
Thirteen. Among the issues to be considered by review panels are:

1. Disagreements concerning the need to discontinue.

2. Adherence to the plan to discontinue.

3. Compliance with procedural requirements.

4. Improper motives related to academic freedom, race, national origin, religion, age, handicap, veteran’s status, gender, or sexual orientation in the dismissal of a faculty member.

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

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

1. Job placement services will be provided.

2. Eligibility to participate in state premium sharing and group insurance programs sponsored by the university will continue at least until the end of the notice period. Eligibility for eighteen months of additional coverage is available through the Consolidated Omnibus Budget Reconciliation Act (COBRA) without premium sharing. The individual will pay the full cost.

3. From the time notice is given until the termination of assigned duties, terminated faculty members are entitled to enroll in courses for credit without payment of tuition or fees, provided that the faculty can (a) meet fundamental job obligations and (b) meet the requirements for admission to the course or program. The provision in the Faculty Handbook regarding "Graduate Work by Faculty" shall not apply.

4. Any terminated faculty position advertised or filled within three years of the date of termination shall be offered first to the faculty member who previously held that position. If that faculty member is rehired to his/her position, s/he will assume the same seniority, including tenure and rank, as was previously held to the extent allowed by law.
Faculty Awards for NTT Faculty  Teaching Excellence Awards

The University of Houston Teaching Excellence Awards for outstanding faculty and teaching assistants/fellows carry cash prizes of $8,000 for faculty and $3,500 for teaching assistants/fellows. Teaching Excellence awards will be granted to no more than eighteen faculty members and no more than four graduate teaching assistants. There are nine categories of nomination under the Teaching Excellence Awards. Faculty may be nominated for all categories for which they may be eligible. The committee has the option to consider nominees for more than one category for which the nominee may be eligible but will award no more than one award to a nominee for that award year. Previous recipients are eligible for nomination in the sixth academic year following a prior award, with the exception of the Career Award (Category 7), Distinguished Leadership Award (Category 8), and Piper Award (Category 9) which may be awarded only once to an individual.

All full-time faculty members are eligible to be nominated for the following awards, with the exception of: Category 1 which is reserved for tenured and tenure-track faculty; Category 4 which is reserved for NTT faculty; and Category 5 which is reserved for graduate teaching assistants. Faculty nominees must have been in residence at the University of Houston for at least two academic years prior to the year of nomination with exception of Category 4. Nominees for Category 4 must have been on the faculty at least half time for three years prior to nomination. Category 5 nominees must be currently enrolled as graduate students and must have held teaching responsibilities for at least two academic semesters.

**Category 1: Teaching Excellence**
Nominations accepted for exceptional tenured or tenure-track professors who have demonstrated excellence in teaching. No more than five awards may be presented.

**Category 2: Provost Core**
Nominations accepted for any full-time faculty members who have demonstrated excellence in teaching University Undergraduate Core Curriculum courses. No more than three awards may be presented.

**Category 3: Innovation in Instructional Technology**
Nominations accepted for any full-time faculty members who have demonstrated excellence in
innovative teaching using instructional technology, possibly including but not limited to hybrid courses, online courses, and instructional television. No more than two awards may be presented.

Category 4: Instructional/Clinical Faculty
Nominations accepted for excellence in teaching demonstrated by faculty, who do not have tenure or tenure-track positions, including Instructional Faculty, Clinical Faculty, Research Faculty, Artist Affiliates, and Lecturers. No more than two awards may be presented.

Category 5: Graduate Teaching Assistant
Nominations accepted for teaching assistants/fellows who have demonstrated excellence in teaching. No more than two awards may be presented.

Category 6: Community Engagement
Nominations accepted for full-time faculty who involve students in service to the community through service learning activities or community engagement projects related to courses that they teach demonstrating leadership in advancing students’ civic learning, fostering reciprocal community partnerships, building institutional commitments to service-learning and civic engagement, and other means of enhancing higher education’s contributions to the public good.

Category 7: Career Award
Nominations accepted for full-time tenured faculty or NTT faculty with continuing employment agreement who have demonstrated excellence in teaching over the course of their careers at the University of Houston. The recipient must have been on the faculty at the University of Houston for at least twenty years. No more than one award may be presented. An award in this category may only be presented once to a faculty member.

Category 8: Distinguished Leadership Teaching Excellence Award
Nominations accepted from tenured faculty or NTT faculty with a continuing employment agreement at the rank of associate or full professor who have made sustained and significant contributions to education within the context of their responsibilities as a full-time faculty member. One prize of $25,000, broken into a $15,000 cash award and $10,000 in departmental support, will be awarded in recognition to the finest among the University of Houston’s full-time faculty for demonstrated
educational excellence in teaching, and in the scholarship of teaching and learning.

**Category 9: Piper Professor Award**

The Piper Professors Award recognizes superior teaching at the college level in the State of Texas. The Minnie Stevens Piper Foundation annually honors ten faculty with awards of $5,000 each for superior teaching at the college level. The Piper Professor nominee for the university is selected by the Teaching Excellence Awards committee. Any current full-time UH faculty who has taught for a minimum of at least five academic years prior to the year of nomination may apply for consideration. Nominees must have been a finalist or recipient of a university level Teaching Excellence Award. The University of Houston may submit only one nomination annually for the Piper Professor Program. With Office of the Provost approval the nomination is submitted to the Minnie Stevens Piper Foundation on behalf of the University of Houston.

**Group Teaching Excellence Awards**

The Group Teaching Excellence Awards recognize groups of faculty in both formal and informal programs who demonstrate a strong commitment to teaching and student success. Two cash prizes of $30,000 will be available for awards to groups of faculty who have worked together collaboratively in the design, implementation, and evaluation of a course or a series of courses to improve student outcomes and who demonstrate effective and innovative teaching over a three year period of time.

**Provost Faculty Advising Award**

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

For more information on awards, visit [http://www.uh.edu/provost/shared-interest/awards/](http://www.uh.edu/provost/shared-interest/awards/).
Appendix A

Continuing Employment Agreement and NTT Promotion Guidelines

Each spring, department chairs and/or deans will review faculty appointment letters to ascertain which NTT faculty members are eligible for a continuing employment agreement. Faculty with an NTT assistant professor rank must have at a minimum completed a period of six (6) consecutive years under annual contract and satisfied all annual performance review requirements to be eligible to apply for a continuing employment agreement in conjunction with successful promotion. Those in NTT associate professor or NTT professor rank, ordinarily, must have at a minimum completed a period of four (4) consecutive years under annual contract and satisfied all annual performance review requirements to be eligible to apply for a continuing employment agreement in conjunction with successful promotion, as applicable. Department chairs and/or deans will then inform eligible NTT faculty that their application to receive a continuing employment agreement if submitted will be considered during the next continuing employment cycle. The decision to grant a continuing employment agreement will be based on favorable recommendations from both the departmental promotion committee and department chair/director with the concurrence of the dean and approval from the Office of the Provost. The term of any such continued employment agreement will be limited to three (3) years and will automatically be renewed on a rolling basis at the conclusion of each academic year for a successive 3-year term, predicated upon satisfactory annual performance review and progress of the faculty member.

Promotion-eligible NTT faculty must have completed a six (6) year probationary period, ordinarily, and satisfied all annual performance review requirements during the probationary period to be eligible for a continuing employment agreement with promotion from NTT assistant to NTT associate professor level. A mandatory review will take place in the sixth year of the six (6) year probationary period with the review being carried out on the same time-line as the normal promotion and tenure process utilized for tenured and tenure track faculty. In rare cases, an NTT assistant professor who is currently employed in a continuing employment agreement may request early review for promotion to NTT associate professor at the discretion of the college and with the approval of the Office of the Provost. For NTT associate professor promotion to NTT professor, mandatory review will take place in the fourth year of the four (4) year probationary period, although in some cases, an early review request may be entertained by the Office of the Provost office in consideration of promotion to NTT professor at the discretion of the college and with approval of the Office of the Provost.

Departments and colleges will be responsible for developing policies and procedures defining the criteria and standards for review of applications for continuing employment agreements with or without promotion consistent with prevailing standards of excellence in their own disciplines. Deans must review and approve written departmental and college policies and procedures and forward these annually by May 1 for approval by the Office of the Provost. Approved policies and procedures will be distributed by the college and/or department to its NTT faculty by the end of the spring semester. Revision of NTT promotion policies and procedures require review and approval of the Office of the Provost when substantive changes to the policy have been made (i.e., revisions that alter the intent of the previously approved policy/procedures). All changes should be captured in a log.
maintained by the college in order to track policy and procedural modifications over time, whether material or not.

**Departmental Continuing Employment and Promotion Reviews for NTT Faculty**

**Prior to the Review**

Departments and colleges will be responsible for developing policies and procedures defining the criteria and standards for review of applications for granting of an initial continuing employment agreement and promotion of NTT faculty consistent with prevailing standards of excellence in their own disciplines, with college policies taking precedence over departmental policies. These policies should state the criteria for granting of a continuing employment agreement and/or promotion of NTT faculty and should provide examples of the types of evidence required to demonstrate that those criteria have been met. In the case of instructional, clinical, or research faculty whose primary professional responsibilities are in one particular domain, differential criteria should be used to distinguish expectations for promotion in the primary domain from those expected of tenured and tenure-track faculty. These differences should be conveyed to the candidates, and their portfolios should set out these distinctions. Deans must review and approve written departmental policies and procedures for promotion of NTT faculty and forward these annually by May 1 for approval by the Office of the Provost. Approved policies and procedures will be distributed by the college and/or department to its NTT faculty by the end of the spring semester. In addition, these policies will be made available to candidates for promotion on the SharePoint site maintained by the Office of the Provost which will be used to assemble the candidate’s electronic portfolio beginning at the end of the spring semester.

The candidate is responsible for assembling his/her portfolio and uploading it to the Office of the Provost’s SharePoint site, with the exception of the external reviewer letters. The candidate should include in the portfolio the appropriate teaching/patient care (in the case of clinical faculty), service, and/or research/scholarship/creative endeavor documentation that reflects their achievements.

The department chair is responsible for requesting reviewer letters for the promotion candidates. Reviewers should hold the same academic rank or higher, and be qualified to comment on the specific domain (i.e. instructional, clinical, or research) in which the NTT candidate holds their faculty appointment. Promotion to the rank of NTT associate professor will require a minimum of three (3) reviewer letters, but no more than six (6). A department may request more than three (3) letters, but all reviewer letters received must be included in the portfolio. At least one letter must be from outside the department but may be from within the university. The remaining letters can be obtained from within the department or university. Letters from outside the university (“arms-length” reviews) may be used but are not required in the case of promotion from NTT assistant to NTT associate professor. As with the tenure-track process, letters may not be accepted from Co-PIs, co-authors, prior students or collaborators on grants/academic projects.

Promotion from NTT associate to NTT full professor will require a minimum of four (4) reviewer letters. A department may request more than four (4) letters, but all reviewer letters received must
be included in the portfolio. For promotion from NTT associate to NTT full professor, at least one outside letter from an “arms-length” reviewer is required. The remainder may be from outside or within the university. Reviewers should hold the rank of professor and be qualified to comment on the specific domain (i.e. instructional, clinical, or research) in which the NTT candidate holds their faculty appointment.

Similar to the tenure-track process, reviewer letters may not be accepted from Co-PIs, co-authors, prior students or collaborators on grants/academic projects.

The candidate’s electronic folder must contain one sample copy of the request letters to reviewers, and a one-paragraph description of the qualifications of each reviewer with the relation to the candidate clearly stated. The department chair/director will be responsible for uploading these documents to the SharePoint site.

Request letters to reviewers should include a brief description of the candidate's role within the department and how this is related to the department’s mission. Letters should also specify a date for return of the evaluation. Candidates will not be shown or have access to review letters as part of the promotion process.

In requesting evaluations, the chair should ask the reviewer:

- Does the candidate’s work, taken as a whole, constitute a serious and significant contribution to the discipline?
- What is your assessment of the candidate's contributions in the specific domain (i.e. teaching/patient care (in the case of clinical faculty), service, or research/scholarship/creative activity) in which the faculty member holds their academic appointment?
- What is your assessment of the candidate's contributions outside of the specific domain in which the faculty member holds their academic appointment to the overall mission of the department/college/university?
- What is the nature of your professional contact with and knowledge of the candidate?
- Does the referee recommend promotion?

**During the Review**

The evaluations of the candidates' portfolios are conducted by the members of the departmental and college promotion and tenure-committees which shall include at least one NTT faculty member in the same career track as the candidate (i.e. instructional, clinical, or research) but of higher rank. Faculty who vote on a candidate’s file at one level may not vote on that candidate a second time at a higher level.

Promotion to NTT associate professor with a continuing employment agreement requires that research faculty members have made high quality contributions to the knowledge base as a result of their research, scholarly and/or creative achievements. Instructional and clinical faculty will have
demonstrated that they are highly effective teachers and have provided high quality instructional experiences to their students. In general, individuals moving to the rank of NTT associate professor are expected to have made significant contributions in the areas of teaching/patient care (in the case of clinical faculty) or research (as appropriate to the professional domain to which they were appointed). Individuals moving to the level of associate professor should have also made additional contributions in at least one of the two remaining traditional areas required of tenured and track-track faculty members (i.e. teaching/patient care (in the case of clinical faculty), service, or research/scholarship/creative endeavor).

Overall, the evaluation must find that the candidate has demonstrated a commitment to academic excellence and that there is reasonable expectation that the candidate will meet the standard for promotion to NTT professor in due course.

Promotion to the rank of NTT professor requires significant contributions to the candidate’s field that have had an impact beyond the university. The application portfolio will document a record of sustained accomplishment in at least two of the following domains (i.e. teaching/patient care (in the case of clinical faculty), service, or research/scholarship/creative endeavor) that are distinguished by quality and significance over time.

Departmental review committees are responsible for reviewing all persons applying for promotion in the department and for writing a justification of their recommendations. Department chairs/directors are responsible for conducting an independent review that corrects any errors in the evaluation that were caused by procedural problems within the committee. Chairs/directors write separate letters stating their own evaluations of the candidate. The letter from the department chair should address the strengths and weaknesses of the candidate. Letters containing negative recommendations should explain reasons and specify areas of weakness that justify the negative recommendation. Justification for each recommendation should be clearly and fully stated. Moreover, justifications should address the merits of each individual case and should not be mere summaries or restatements of earlier assessments.

In the event of a negative recommendation, the candidate may ask for a reconsideration of the committee’s and/or chair’s decisions to rebut statements made or to offer new evidence for the review. The reconsideration may not question the professional judgment of the review body. After any reconsideration, the review body shall respond in writing.

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

College review committees are responsible for reviewing all persons applying for promotion within the College and for writing a justification of their recommendations. Deans, in consultation with college
faculty committees, are responsible for conducting an independent evaluation of each application, correcting any procedural problems during previous reviews, and writing independent recommendations. Letters containing negative recommendations should explain reasons and specify areas of weakness that justify the negative recommendation. Justification for each recommendation should be clearly and fully stated. Moreover, justifications should address the merits of each individual case and should not be mere summaries or restatements of earlier assessments. Those evaluations, along with the vote of the college committee and its written justification for the recommendation, are included in the candidate’s electronic folder.

In the event of a negative recommendation, candidates may ask for a reconsideration of the committee’s and/or dean's decisions. This process is designed for faculty members to rebut statements made or to offer new evidence. The reconsideration may not question the professional judgment of the review body. After the reconsideration, the review body shall respond in writing.

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

An independent university-level review will be carried out by the Provost who may seek additional advice from members of his/her staff, the dean, or other appropriate bodies. The Provost informs each candidate of his/her decision relative to granting of promotion and/or a continuing employment agreement.

In the event of a negative recommendation, candidates may ask for reconsideration of the Provost’s decision, to review errors of fact or procedure. After reconsideration, the Provost makes a final decision on granting promotion and/or a continuing employment agreement. The promotion and any continuing employment agreement actions take effect at the beginning of the following academic year.

**Procedures for Non-Mandatory Reviews**

NTT faculty who would like to be considered for a non-mandatory promotion such as from NTT associate to NTT professor should contact the dean’s office to obtain a copy of the University Guidelines. The timelines and procedures are generally the same as for Mandatory Reviews. The review of the portfolio will be conducted as with applications for promotion to NTT Associate Professor. The university recognizes that for promotions from NTT Associate Professor to NTT Professor the reviewers may know the candidate. However, the department should assure that the reviewers are as objective as possible, in spite of possible professional relationships. Letters to the reviewers should inquire about the nature of any collaborations or past professional relationships. Reviewers should also be asked to evaluate the quality and significance of the candidate’s
contributions. Faculty members undergoing non-mandatory reviews who are unsuccessful may withdraw their applications without penalty at any time during the College-level review process.

Applicant's Portfolio/Electronic Folder

Since the major responsibility for review rests with the department and college, thorough documentation should be submitted by the candidate as evidence for all items claimed in the candidate’s vita.

A. Face Sheet

This electronic form should be prepared by the candidate’s dean’s office.

B. Internal Administrative Letters

The candidate’s electronic folder should include any department or college committee evaluation reports, letters from chair/director to dean and dean to Provost, and any appeals letters. University policy mandates that no extraneous letters or materials be included.

Copies of the initial letter of appointment to the university and the results of probationary reviews/annual performance reviews must be included in the candidate’s electronic folder for candidates for mandatory review. For non-mandatory review candidates, documentation of their previous promotions should be included.

Letters from department chairs/directors and deans should address the strengths and weaknesses of the candidate. Letters containing negative recommendations should explain reasons and specify areas of weakness that led to the negative recommendation. Justification for each recommendation should be clearly and fully stated. Moreover, these letters should address the merits of each individual case and should not be mere summaries or restatements of earlier assessments. The dean’s letter of recommendation is especially important.

C. Review Letters

The department chair is responsible for requesting reviewer letters for the promotion candidates. Reviewers should hold the same academic rank or higher, and be qualified to comment on the specific domain in which the NTT candidate holds their faculty appointment. Promotion to the rank of NTT associate professor will require a minimum of three (3) reviewer letters. A department may request more than three (3) letters. At least one letter must be from outside the department but may be from within the university. The remaining letters can be obtained from within the department or university. Letters from outside the university (“arms-length” reviewers) may be used but are not required in the case of promotion from NTT assistant to NTT associate professor. For promotion from NTT associate to NTT full professor, at least one outside letter from an “arms-length” reviewer is required. The remainder may be from outside or within the university.
Similar to the tenure-track process, reviewer letters may not be accepted from Co-PIs or collaborators on grants/academic projects. External reviews requested from thesis advisors, co-authors, or former students are not considered to be "arm's length" and will not be considered.

The candidate’s electronic folder must contain one sample copy of the request letters to reviewers, and a one-paragraph description of the qualifications of each reviewer with the relation to the candidate clearly stated. The department chair/director will be responsible for uploading these documents to the promotion Share-point site. Request letters to reviewers should include a brief description of the candidate’s role within the department and how this is related to the department’s mission. Letters should also specify a date for return of the evaluation. Candidates will not be shown or have access to review letters as part of the promotion process.

D. Candidate’s Statement

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

E. Curriculum Vitae (CV)

The candidate should include a traditional CV with the categories below. Additionally, corroboration of the information in the CV should be included as follows:

1. Teaching and Student Learning

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

   a. Student Evaluations of Teaching. Teaching evaluations of all classes are required by university policy. Student evaluation data should include summaries of teaching evaluations with comparative departmental data. Teaching effectiveness ratings should include all classes taught at the NTT Assistant or NTT Associate level. Candidates for NTT full professor may include only those classes taught since the last promotion or in the last 10 years. Results should be summarized in a single table that includes evaluations for all courses taught and information about the instrument’s items and response scale. In programs where individual classes, small studios, or performances are the norm, special care should be taken to assure full and comprehensive teaching evaluations.

   b. Peer Evaluation of Teaching. Though not required in all departments, candidates may include formal or informal peer assessment of the candidate’s teaching effectiveness.

   c. Course and Program Development and/or Revision. Information about course,
curriculum, and program development can provide evidence of a commitment to student learning. The candidate's contribution to course development may be documented with sample course syllabi, teaching-grant proposal abstracts, courseware, cases and simulations, brief descriptions of student projects, examples of modifications for Instructional Television or Internet teaching, etc. Evidence of program development may include student recruitment, advising, and retention; directing graduate research; interdisciplinary program development, etc.

d. **Other Evidence of Teaching, Student Learning, and the Scholarship of Teaching.**
Candidates may submit evidence that they have facilitated students' success. Examples may include contributions to students who have won awards, letters from community members who have benefited from student projects or internships, and other evidence that the candidate contributed to student learning. This section may also contain evidence of the candidate's commitment to enhancing his/her teaching ability. Professional development activities, patient care, scholarly approaches to evaluating teaching effectiveness, teaching excellence awards, and guest lecturing or team teaching or recruiting quality students should also be documented here.

2. **Research, Scholarship and Other Creative Productivity**

The research mission of the University of Houston is to create, discover, disseminate, and preserve knowledge and understanding by engaging in basic and applied research and scholarly and artistic activities that benefit students, scholars, and external constituencies. The following categories are suggested for candidates to document how they have carried out the university's research mission.

a. **Scholarly/Creative Work:** Completed works should be listed in the following order: books, monographs, journal articles (refereed journals should be marked with an asterisk), refereed proceedings, book chapters, other papers, juried exhibits, shows, recitals, awards, etc. Within each of these sections, the citations should be listed in reverse chronological order (starting with the most recent). Articles should be cited following the discipline style sheet and must include the exact title and the names of any co-authors in the order in which they appeared in print, and the page length. Citations of creative presentations must be listed as on public announcements. For exhibits, shows, recitals, etc., the information forwarded must include the dates and nature of the event(s). Copies of programs and reviews, if any, of each creative activity are also desirable. Works actually in press as well as works accepted or under review are to be listed below.

b. **Articles Accepted for Publication:** Include works in press and works accepted for publication.

c. **Representative Works:** Reprints of articles, published reviews, programs, and other substantial scholarly/creative products should be sufficient to demonstrate the scope
and quality of the candidate's scholarly activities. Include samples of printed material, pictures of artistic creations, reviews, and other related items in the candidate's portfolio. Do not send books, compact discs, or other valuable samples to the Office of the Provost.

d. **Published Reviews**: Copies of relevant reviews.

e. **Other Work Products**: One copy of other substantial work products (e.g. books, slides of artistic creations, etc.).

f. **Technical Reports**: The listing should specify the title, date, and length of the document, and the sponsoring agency or individual.

g. **Research Proposals**: The following information should be included for each proposal:

   (1) Name of the principal investigator and all co-investigators;

   (2) Title of the grant proposal;

   (3) Funding agency; and

   (4) Amount requested

h. **Research Grants**: The following information should be included for each grant:

   (1) Name of the principal investigator and all co-investigators;

   (2) Title of the grant proposal;

   (3) Funding agency;

   (4) Amount of the grant; and

   (5) Time period of the grant.

i. **Generation of intellectual property**: List any patents issued or pending including patent number, date of filing, and status (provisional, non-provisional, issued).

j. **Major Work(s) in Progress**: The information provided here should comment on the nature of the work(s) and identify anticipated date of completion. The solicitation letter
to external evaluators should specifically request an assessment of major work(s) in progress.

k. **Other Indicators of Scholarly Creative Work:** List book reviews, editorial contributions, citations, research awards, and other indicators of contributions to the discipline/profession, cited in the format of the discipline's style sheet.

3. **Service**

The candidate should provide a complete listing with documentation of the categories below.

a. **Service to the Department, College, and University:** List committee membership, administrative roles, and other contributions to the university.

b. **Service to the Profession/Academic Discipline:** Describe activities that strengthen the profession, including leadership in professional organizations.

c. **Service to the Community or Public:** Document public involvement that is related to the candidate's area of expertise, including speeches, expert advice to community organizations, donations of creative or scholarly efforts to public institutions, consultations with private organizations, etc.

d. **Other Contributions:** The candidate may provide evidence of other significant contributions that advance the profession/discipline including patient care activities (in the case of clinical faculty), if applicable.
Electronic Folder Checklist for NTT Faculty Promotions

I. INTERNAL LETTERS

A. _______ UH appointment or promotion letter

B. _______ Probationary review letter(s)

C. _______ Extension of probation period letter

D. _______ Dean, including a statement of expectations
   D1. _______ Dean rehearing
   D2. _______ Dean rehearing materials

E. _______ College Committee
   E1. _______ College Committee rehearing
   E2. _______ College Committee rehearing materials

F. _______ Department Chair, including a statement of expectations
   F1. _______ Department Chair rehearing
   F2. _______ Department Chair rehearing materials

G. _______ Department Committee
   G1. _______ Department Committee rehearing
   G2. _______ Department Committee rehearing materials

II. REVIEWS (minimum of three; six maximum)

A. _______ Statement of process for selecting outside reviewers

B. _______ Sample copy of letters of request to reviewers

C. _______ One paragraph (1/2 page maximum) summary of the qualifications of each reviewer (no CVs)
D. ________ Letters from reviewers

III. ________ CANDIDATE'S STATEMENT of accomplishments in teaching/patient care (in the case of clinical faculty) and student learning, scholarly/creative contributions, and professional service

IV. CANDIDATE'S CURRICULUM VITAE

A. TEACHING AND STUDENT LEARNING

1. ______ Evaluations of teaching: summary table of student evaluations with comparative data (no raw data); teaching evaluation procedures and questionnaire; peer teaching evaluations

2. ______ Course and program development and/or revision

3. ______ Evidence of student learning

4. ______ Other evidence of the scholarship of teaching

B. SCHOLARSHIP AND OTHER CREATIVE CONTRIBUTIONS

1. ______ List work in the following order: books, monographs, articles (refereed articles marked with an asterisk), juried exhibits, shows, recitals, etc. (include works in press). Document work with representative reprints, published reviews, programs, and other substantial scholarly/creative products

2. ______ List funded grants and contracts

3. ______ Generation of intellectual property: List any patents issued or pending including patent number, date of filing, and status (provisional, non-provisional, issued).

4. ______ Other indicators of scholarly/creative contributions (scholarly presentations, other publications, editorial work, published courseware, citations, technical reports, major work in progress, etc.)

C. SERVICE AND ADMINISTRATIVE DUTIES

1. ______ Department, College, and University

2. ______ Profession/Academic Discipline

3. ______ Community/Public

4. ______ Other Evidence of Service